

# **Strategic Program Area Review**

## **Arizona Ports of Entry Domestic Violence University Extended Education**

**Governor's Office of Strategic Planning and Budgeting  
and  
Joint Legislative Budget Committee**

**January 2000**



# **STATE OF ARIZONA**



RECEIVED  
06/10/2000

## 2000 ARIZONA STRATEGIC PROGRAM AREA REVIEW (SPAR) EXECUTIVE SUMMARY

Laws 1999, Chapter 148 modified the program evaluation process for Arizona state government, creating the Strategic Program Area Review (SPAR) process. The SPARs provide an opportunity for the Governor and the Legislature to evaluate the effectiveness and efficiency of programs crossing state agency lines. These reviews are a permanent part of the biennial budget process and result in decisions to retain, eliminate, or modify particular programs. Laws 1999, Chapter 148 specified three program areas for review during the 2000 legislative session: Arizona Ports of Entry, Domestic Violence, and University Extended Education. The President of the Senate and the Speaker of the House of Representatives are required to assign these SPARs to the Appropriations Committees and may additionally assign the SPARs to an appropriate standing committee. The assigned standing committees or the Appropriations Committees shall hold at least one public hearing to receive public input and to develop recommendations whether to retain, eliminate, or modify the program subject to the SPAR process.

### Arizona Ports of Entry

JLBC Staff and OSPB conducted a SPAR focusing on the Non-Mexican Border Ports of Entry. The primary purpose of these ports is to ensure that commercial vehicles are in compliance with the state's weight, licensing, permit, and tax laws, as administered by the Motor Vehicle Division (MVD) of the Arizona Department of Transportation (ADOT). The Arizona Department of Agriculture (ADA) also uses the ports to screen trucks and their cargo to intercept agricultural pests, weeds, and livestock diseases. The Department of Public Safety (DPS) maintains a limited field presence at some ports, usually with one officer to perform safety inspections of commercial vehicles along with other patrol and field duties.

JLBC Staff and OSPB found that ADOT, DPS, and ADA benefit from sharing the ports. JLBC Staff also found that the level of cooperation between agencies has varied considerably. Although it may not be feasible to consolidate their port operations, there are definite opportunities for increased cooperation.

OSPB and JLBC Staff found that the ports are ADOT's dominant compliance mechanism and are useful in ADOT's enforcement of Arizona's truck size, weight, and tax laws. The lack of national benchmarks, systematic performance monitoring mechanism, and a current 5-Year Master Plan for the ports limited the ability of this review to conclusively establish the program's effectiveness, efficiency, or future direction.

JLBC Staff and OSPB agree that the three agencies should jointly seek ways to further staff cross-training and development. JLBC Staff specifically recommends that ADOT report on the more extensive use of cross-training to allow one person to conduct all checks and on the use of interagency team building. JLBC Staff also recommends that the three agencies make better use of interagency agreements to foster more cooperation and that the three agencies report on these and other items to the Governor and the Legislature by July 1, 2000. OSPB recommends interagency agreements between DPS and ADOT and between ADOT and ADA (but not between DPS and ADA). OSPB also recommends that ADOT notify in writing the JLBC and OSPB Directors on its progress by July 1, 2000.

OSPB and JLBC Staff also recommend that ADOT improve its data tracking system and performance measurements for the program and include them in ADOT's 5-Year Master Plan for the ports (last

updated in 1989). OSPB and JLBC Staff recommend that ADOT submit its updated 5-Year Master Plan for the ports to the Governor and the Legislature by July 1, 2000. OSPB and JLBC Staff also recommend that ADOT submit a report on how it has improved its collection, analysis, and use of data in these areas to the Governor and the Legislature by September 1, 2001.

### **Domestic Violence**

JLBC Staff and OSPB conducted a SPAR of Domestic Violence services provided by state agencies. The SPAR followed up on work conducted in a 1998 Program Authorization Review (PAR). The SPAR focused on Domestic Violence programs in the Department of Economic Security (DES) and the Administrative Office of the Courts (AOC) but also looked at the Domestic Violence programs operated by 6 other state agencies. State agencies provide funding for a broad range of services, ranging from emergency shelter services and case management for victims to legal advocacy and assistance to prosecutors of domestic violence cases.

JLBC Staff found that, despite some instances of increased collaboration since 1997, lack of coordination between state agencies still inhibits the efficient allocation of resources among domestic violence shelters. To address this lack of coordination, JLBC Staff recommends consolidating funding related to direct services to victims within DES and funding related to law enforcement and prosecution with the Arizona Criminal Justice Commission (ACJC).

OSPB found that progress has been made since the original 1998 PAR, but that enhanced collaboration between agencies providing domestic violence services would increase efficiency. OSPB recommends that funding agencies participate in a new collaborative initiative to divide their resources amongst the shelters so that each shelter receives the appropriate level of funding. JLBC Staff believes that coordination of these resources cannot eliminate the inherent inefficiency of 6 different agencies providing direct services to domestic violence victims.

Both JLBC Staff and OSPB also found that the lack of outcome measures makes it difficult to evaluate overall effectiveness of the system. As a result, we recommend that DES report to the Governor and the Legislature by June 30, 2000 on the baseline cost-effectiveness information being collected and on other recommended outcome measures that should be developed in consultation with other state agencies and interested stakeholders.

### **University Extended Education**

JLBC Staff and OSPB conducted a SPAR of University Extended Education programs at Arizona State University (ASU), Northern Arizona University (NAU) and the University of Arizona (UA). The SPAR followed up on work conducted in a 1998 PAR and looked at ASU's College of Extended Education, NAU's Personal and Professional Development program and Office of Management and Development, and UA's Extended University. The SPAR also looked at the array of university credit and non-credit extended education offerings. The Extended Education programs of each university focus on services to non-traditional students seeking courses at non-traditional times and sites. In particular, the role of off-campus credit-bearing education within the state's larger higher educational environment was examined.

JLBC Staff and OSPB found that the number of students enrolled in off-campus credit-bearing courses increased by 27.0% from FY 1997 to FY 1999, while total main campus enrollment increased by 1.6% during this same period. While Arizona Board of Regents (ABOR) policy sets guidelines for the service areas of each university and discusses the special role of televised courses, the current policies do not

provide guidance on the appropriate level of off-campus courses in the overall mix of educational offerings. Given the growing importance of off-campus education, JLBC Staff recommends that ABOR report to the Governor and the Legislature by November 1, 2000 on its policy for the use of off-campus course offerings. The policy should include criteria to determine when off-campus courses are most appropriate. OSPB makes no recommendation related to this finding.

JLBC Staff and OSPB found that coordination among universities with regard to distance learning may be inadequate and may create unnecessary duplication of services. As a result, JLBC Staff recommends that ABOR report to the Governor and the Legislature by November 1, 2000 on its policy to coordinate off-campus course offerings to ensure no unnecessary duplication of services. OSPB recommends using the Governor's Higher Education Taskforce for this purpose.

JLBC Staff and OSPB also found that the ABOR policy that describes which students will be counted for General Fund enrollment formula funding does not address clearly the wide range of extended education course delivery methods that now exist in the state. As a result, JLBC Staff recommends that ABOR create criteria for enrollment formula student counts that provide full state funding only to courses where the quality and cost of delivery are comparable to main campus courses. The policy should be written in a way that can accommodate future changes in educational delivery methods. JLBC Staff recommends that ABOR provide its findings to the Governor and the Legislature by November 1, 2000. OSPB recommends using the Governor's Higher Education Taskforce for this purpose.

**OFFICE OF THE GOVERNOR**  
**OFFICE OF STRATEGIC PLANNING AND BUDGETING**  
1700 West Washington, Suite 500  
Phoenix, Arizona 85007  
(602) 542-5381 • FAX: (602) 542-0868



**GOVERNOR**  
**JANE DEE HULL**

**JOINT LEGISLATIVE BUDGET COMMITTEE**  
**STAFF**  
1716 W. Adams  
Phoenix, Arizona 85007  
(602) 542-5491 • FAX: (602) 542-1616

December 22, 1999

The Honorable Jane D. Hull, Governor  
The Honorable Brenda Burns, President of the Senate  
The Honorable Jeff Groscost, Speaker of the House  
Arizona State Capitol  
1700 W. Washington  
Phoenix, AZ 85007

RE: Strategic Program Area Review

Dear Governor Hull, President Burns, and Speaker Groscost:

We are transmitting to you and the entire Legislature, the Strategic Program Area Review (SPAR) report required by A.R.S. § 41-1275. In accordance with this legislation, the Joint Legislative Budget Committee (JLBC) Staff and the Governor's Office of Strategic Planning and Budgeting (OSPB) have completed our review of three strategic program areas: Arizona Ports of Entry, Domestic Violence, and University Extended Education. The SPAR Reports are co-authored by each office. We share some findings and recommendations, while we disagree on others.

The attached SPAR report contains the following information: 1) an Executive Summary of the three SPAR reports, 2) the SPAR report for each program area, and 3) each agency's response to our review. These reports also are available through the web page of the JLBC Staff ([www.azleg.state.az.us/jlbc.htm](http://www.azleg.state.az.us/jlbc.htm)) or OSPB ([www.state.az.us/ospb](http://www.state.az.us/ospb)).

We look forward to presenting our review to the Appropriations Committees and to any other legislative committees to which they are assigned. If you have any questions, please feel free to contact us, or you can call Lynne Smith of the JLBC Staff at 542-5491 or Monica Klaschka of OSPB at 542-5381.

Sincerely,

A handwritten signature in black ink, appearing to read "Tom Betlach".

Thomas J. Betlach  
Director, OSPB

A handwritten signature in black ink, appearing to read "Richard Stavneak".

Richard Stavneak  
Director, JLBC Staff

**STRATEGIC PROGRAM AREA REVIEW  
2000 Legislative Session**

**TABLE OF CONTENTS**

	<u>Page No.</u>
Introduction.....	i
 <u>Arizona Ports of Entry</u>	
JLBC/OSPB Joint SPAR Report .....	A - 1
Appendix 1 .....	A - 13
Appendix 2.....	A - 14
Agency Responses .....	A - 15
 <u>Domestic Violence</u>	
JLBC/OSPB Joint SPAR Report .....	B - 1
Agency Responses .....	B - 13
 <u>University Extended Education</u>	
JLBC/OSPB Joint SPAR Report .....	C - 1
Agency Responses .....	C - 9

## INTRODUCTION

**Overview** - Laws 1999, Chapter 148 modified the program evaluation process for Arizona state government, creating a Strategic Program Area Review (SPAR) process. The SPARs provide an opportunity for the Governor and Legislature to evaluate the effectiveness and efficiency of state government programs. These reviews are a permanent part of the biennial budget process and result in decisions to retain, eliminate, or modify particular programs. The SPAR process replaced the Program Authorization Review (PAR) process established by Laws 1995, Chapter 283. Laws 1999, Chapter 148 specified three program areas for review during the 2000 legislative session. The three program areas and associated agencies are identified in Table 1.

**Table 1: Programs Subject to SPAR**

<u>Program Area</u>	<u>Agency</u>
Arizona Ports of Entry	Arizona Department of Transportation <sup>1/</sup> Arizona Department of Agriculture Department of Public Safety
Domestic Violence programs	Department of Economic Security <sup>2/</sup> Administrative Office of the Courts <sup>2/</sup> Governor's Office for Domestic Violence Prevention Department of Health Services Attorney General Department of Commerce Department of Public Safety Arizona Criminal Justice Commission
University Extended Education programs	University of Arizona <sup>2/</sup> Arizona State University <sup>2/</sup> Northern Arizona University <sup>2/</sup>

<sup>1/</sup> Submitted Self Assessment as part of the 2000 SPAR process.  
<sup>2/</sup> Updated 1998 PAR for the 2000 SPAR Process.

The Joint Legislative Budget Committee (JLBC) Staff and the Governor's Office of Strategic Planning and Budgeting (OSPB) have published a composite report. This composite report includes all of JLBC/OSPB's SPAR reports for the three programs. The SPAR reports also are available through the Web pages of the JLBC Staff ([www.azleg.state.az.us/jlbc.htm](http://www.azleg.state.az.us/jlbc.htm)) and OSPB ([www.state.az.us/ospb](http://www.state.az.us/ospb)). Following is a more complete description of the reports.

**Special Processes for 2000 SPARs** - Laws 1999, Chapter 148 established a 2000 SPAR process that is slightly different than the SPAR process to be followed in the future. Two of this year's SPARs (Domestic Violence and University Extended Education) were designed to be updates of the 1998 PARs



conducted on these program areas. As such, these agencies provided updates to the Self-Assessments submitted for the 1998 PAR process. The SPAR reports on Domestic Violence and University Extended Education occasionally refer to the 1998 PARs. Only the Arizona Ports of Entry SPAR required a full Self-Assessment, since the program was not reviewed in the 1998 PAR.

Laws 1999, Chapter 148 requires that agency Self-Assessments be submitted by June 1 of every odd-numbered year. This year, however, agencies were not required to submit their information until August 15 or September 1, 1999. This unique timeframe was due to the passage of the SPAR legislation in the spring of 1999.

**SPAR Process** - The SPAR process consists of three phases.

Agency Authored Self-Assessment - The first phase requires the agency responsible for a program subject to SPAR to conduct a Self-Assessment of its program. This assessment answers specific questions relating to background information, program funding, strategic planning, performance measurement, program management, and other issues of interest. As previously mentioned, the Arizona Ports of Entry SPAR required a full Self-Assessment, while the other two SPARs required updates to the 1998 PARs. Additionally, other agencies associated with the program areas being reviewed were asked to submit information, although, not in the Self-Assessment structure. In the future, Self-Assessments will be due to the JLBC and OSPB Directors on June 1 of each odd-numbered year.

JLBC/OSPB Review and Report - In the second phase of the SPAR process, the JLBC Staff and OSPB reviewed the agency materials and gathered additional information, as appropriate, to validate the agency's submission. We then prepared reports of our findings and recommendations for each of the program areas. The SPAR reports are co-authored by each office. We share some findings and recommendations, while we disagree on others. Each agency was afforded an opportunity to review and comment on the reports during late November and early December. The Agency Responses are included in the published reports. As required by law, the JLBC Staff and OSPB are publishing the final joint SPAR reports by January 1, 2000.

Legislative Review - In the third phase, the Speaker of the House of Representatives and the President of the Senate assign the SPARs to the Appropriations Committees. They may also assign the SPARs to a standing committee. These committees are to hold at least one public hearing for the purpose of receiving public input and recommending whether to retain, eliminate, or modify funding and related statutory references for the strategic program areas under review. If standing committees hold the public hearing, their recommendations shall be made to the Appropriations Committees.

**SPAR Composite Report Organization** - The SPAR report includes, after this Introduction, each JLBC/OSPB SPAR report and an Agency Response section.

1. JLBC/OSPB SPAR Report (on lavender paper). This jointly written narrative includes each of the two offices' findings and recommendations on the program based upon the agency Self-Assessment. Key conclusions are listed first in the Overview section, followed by a brief description of the program and a program funding summary. The balance of the report narrative addresses a standard set of questions:

1. *How does the program mission fit within the agency's mission and program's enabling authority? Is it still necessary?*
2. *Does the program meet its mission and goals efficiently and effectively including comparisons with other jurisdictions? Do the program's performance measures and performance targets adequately capture these results?*
3. *Are there other cost-effective alternative methods of accomplishing the program's mission?*
4. *Should the program area be consolidated into one budget unit if the area is administered by more than one budget unit?*
5. *Are there other special issues of interest? (if applicable)*

JLBC Staff's and OSPB's responses to these questions, where especially important, appear in bold. These bolded statements constitute **findings**, which are summarized in the Overview section and further described in the body of the report. Our recommendations also are summarized in the Overview section and more fully described in the body of the SPAR. In cases where our two offices agreed, joint findings and/or joint recommendations are listed. In other cases, the JLBC Staff Perspective and OSPB Perspective are described separately.

2. Agency Response to the JLBC/OSPB Joint SPAR Report (on white paper). Each agency involved in the SPAR process was invited to submit an Agency Response.

**Further Information** - Copies of the individual SPAR reports are available through the web page of the JLBC Staff ([www.azleg.state.az.us/jlbc.htm](http://www.azleg.state.az.us/jlbc.htm)) and OSPB ([www.state.az.us/ospb](http://www.state.az.us/ospb)). Copies of this report also can be obtained by contacting Lynne Smith at the JLBC Staff office (602-542-5491) or Monica Klaschka at the OSPB office (602-542-5381). These two persons can respond to general questions about the SPAR process. For additional information about the specific programs subject to SPAR, readers may want to contact the appropriate person from the agency, JLBC Staff, or OSPB. These contacts are listed in Table 2.

**Table 2: Contact Persons for SPAR Programs**

<u>Agency</u>	<u>Program Area</u>	<u>Agency Contact</u>	<u>JLBC Analyst</u>	<u>OSPB Analyst</u>
ADOT	Ports of Entry	David Jankofsky	Bob Hull	Marcel Benberou
DES	Domestic Violence	Laura Guild	Stefan Shepherd	Matt Gottheiner
JUD	Domestic Violence	Beverley Boyd	Brad Regens	Dawn Nazary
UA	Extended Education	Ed Frisch	Steve Grunig	Jeff Young
ASU	Extended Education	Douglas Vinzant	Steve Grunig	Jeff Young
NAU	Extended Education	Marie Zeglen	Steve Grunig	Jeff Young

**ARIZONA PORTS OF ENTRY**  
**Arizona Department of Transportation**  
**JLBC/OSPB Joint SPAR Report**

**Overview** - The Arizona Department of Transportation (ADOT) has jurisdiction for implementing and enforcing federal and state laws related to motor vehicle size and weight and for collecting highway user revenues. ADOT places these responsibilities within the department's Motor Vehicle Division (MVD) and affects them through various MVD organizational units, including one that operates the port of entry system. This Strategic Program Area Review (SPAR) focuses primarily on non-Mexican border ports of entry that are located on highways within the state. The non-Mexican border ports of entry's primary purpose is to ensure that commercial vehicles driving through Arizona are in compliance with the state's weight, licensing, permit, and tax laws. In addition to ADOT's operations, the Arizona Department of Agriculture (ADA) uses the ports to intercept agricultural pests, weeds, and livestock diseases. The Arizona Department of Public Safety (DPS) also maintains a limited field presence at some ports, usually with one officer to perform safety inspections of commercial vehicles along with his other patrol and field duties.

ADOT's Self-Assessment adequately described its program and the port facilities. The program personnel answered all follow-up questions and worked diligently with OSPB and JLBC Staff to help analysts better understand the issues related to this program. ADOT provided output performance measures for its program. However, ADOT provided neither benchmarks for its program nor comparisons with other states. Further, ADOT did not provide any customer input or feedback from the trucking industry.

The scope of this SPAR did not require that ADA and DPS complete an agency Self-Assessment. However, they did cooperate with the study team and responded to questions related to their involvement and responsibilities at the ports. This SPAR was not designed to specifically focus on the effectiveness of the use of ports for agricultural or vehicle safety purposes.

After reviewing the agency Self-Assessment, JLBC Staff and OSPB reached the following conclusions:

**JLBC Staff Findings and Recommendations**

- **JLBC Staff and OSPB agree that the involvement at the ports of the Departments of Transportation, Agriculture, and Public Safety has enabled these agencies to share the port of entry facilities and sometimes assist each other. Only JLBC Staff, however, finds that the level of cooperation between agencies has varied considerably. Although it may not be feasible to consolidate the port operations of the three agencies, there are definite opportunities for increased coordination.**
- **OSPB recommends that DPS and ADOT establish an interagency agreement covering their port activities, that the present interagency agreement between ADOT and ADA be updated to reflect all major terms of their cooperation, and that ADOT notify in writing the JLBC and OSPB directors on their progress by July 1, 2000. The JLBC Staff believes that the three agencies should be more strongly encouraged to pursue interagency cooperation at the ports,**

**and that they should be held more accountable for results by reporting on specific items to the Governor and Legislature by July 1, 2000.**

- ✓ **Recommendation:** JLBC Staff recommends that the port of entry program be modified, with the following provisions:
  - JLBC Staff and OSPB agree that the three agencies should jointly examine innovative and efficient ways to further staff cross-training and development. JLBC Staff further recommends that ADOT report specifically on the more extensive use of cross-training to allow one person to conduct all checks, and on the use of interagency team building activities at the ports.
  - JLBC Staff recommends that the three agencies should explore how they can make better use of interagency agreements to foster more cooperation. JLBC Staff recommends putting more specificity into the existing interagency agreement between ADOT and ADA, and establishing separate interagency agreements between ADOT and DPS, and between DPS and ADA. OSPB recommends that ADOT and DPS enter into an interagency agreement to reflect and specify all key components of their cooperative efforts, and that the existing interagency agreement between ADOT and ADA be updated to reflect all major transactions and terms of their cooperation at the ports.
  - JLBC Staff recommends that ADOT, ADA, and DPS report on how the three agencies will work better together at the ports, including but not limited to the specific items mentioned above, to the Governor and Legislature by July 1, 2000.

#### OSPB Findings and Recommendations

- **The involvement at the ports of the Departments of Transportation, Agriculture, and Public Safety has enabled these agencies to share the port of entry facilities and sometimes assist each other to strengthen their respective enforcement activities. However, OSPB found that ADOT and DPS do not have an interagency agreement reflecting their agreed upon levels of service, and that the current interagency agreement between ADOT and ADA did not reflect all the terms of their respective cooperation. The consolidation of these agencies may not be feasible at this time, since they perform different functions at the ports.**
- ✓ **Recommendation:** OSPB recommends that the port of entry program be modified, with the following provisions:
  - ADOT should increase efforts and explore creative methods to enhance and promote efficient interagency cooperation with DPS and ADA. The involved agencies should jointly examine feasible and innovative ways to further staff cross-training and development.
  - ADOT and DPS should enter into an interagency agreement to reflect and specify all key components in their business, responsibilities, and cooperative efforts at the ports.
  - ADOT and ADA need to update the existing interagency agreement to reflect all major terms and levels of their mutual cooperation.

- It is recommended that ADOT provide to the JLBC and OSPB directors a written update on the progress of these recommendations by July 1, 2000.

### Joint Findings and Recommendations

- The ports of entry are useful in enforcing Arizona's truck size, weight, and tax laws. ADA screens trucks and their cargo for agricultural pests at the ports. DPS benefits from the ports by using certain ports as offices in remote areas. They perform some of their enforcement activities at the ports and some away from the ports.
- The lack of national benchmarks and a systematic performance monitoring mechanism have limited the ability of this review to conclusively establish the program's effectiveness or efficiency, including the use of mobile versus fixed scales.
- ADOT has implemented some efforts to improve the ports' operations and enforcement, including the use of emerging technologies and mobile scales. However, the agency's Self-Assessment did not provide strong evidence to support their cost-effectiveness and their expansion plan. Furthermore, ADOT's lack of a current 5-Year Master Plan for the ports inhibits our ability to evaluate the present effectiveness and future direction of the program.
- Although the number of mobile enforcement units used by ADOT has increased, the fixed port of entry inspection stations continue to be the dominant compliance mechanism.
- ✓ **Recommendation:** OSPB and JLBC Staff recommend that the program's data tracking system and performance measurements be improved. Specifically, it is recommended that ADOT collect data on the number of trucks weighed, number overweight, revenue generated, and operating budget expenditures separately for both its fixed ports and for its mobile units. Such data would facilitate future cost comparisons between ADOT's use of fixed and mobile scales. This data should be included in ADOT's 5-Year Master Plan for the ports, which is currently being updated (it was last updated in 1989). The updated Master Plan can then be used to help evaluate the future direction of the program, including the best use and mix of fixed scales, mobile scales, and newer technologies. OSPB and JLBC Staff recommend that ADOT submit its updated 5-Year Master Plan for the ports to the Governor and the Legislature by July 1, 2000. In addition, OSPB and JLBC Staff recommend that ADOT submit a report on how it has improved its collection, analysis, and use of data in these areas to the Governor and the Legislature by September 1, 2001.

**Program Description** - The operations of ADOT's non-Mexican border port of entry are primarily focused on carrying out federal and state mandates related to commercial vehicle size and weight and on collecting fees and charges from those using the highway system in Arizona.

Title 23 of the United States Code requires that the state's size and weight laws (Arizona Revised Statutes, Title 28, Article 18) must be enforced on all Arizona roads that are built with or receiving federal aid. The United States Government could reduce federal highway funds to the state, if the Federal Highway Administration (FHWA) deems that adequate truck size and weight enforcement is not occurring. The program has consistently met this federal mandate, as the department is required to submit annually two reports to FHWA. The first report is the "*The Enforcement Plan*," which is a planning document by which FHWA reviews and evaluates the state's operation as to its acceptability in either

the plan itself or its implementation. The second document submitted to FHWA is "*The Certification Report*" (USC 23-141), which includes a certification by the ADOT director ensuring that the state is enforcing laws regarding maximum vehicle size and weights permitted on federal aid highways and the Interstate System.

The non-Mexican border ports of entry are part of an integrated motor vehicle enforcement activity that is administered by the Motor Vehicle Division of ADOT. The present network consists of 13 ports (See **Ports Location Map Appendix 1**), 9 mobile stations, 142 officers, and a Phoenix Central Permits office which only issues permits. The ports collected \$13.5 million in revenues and processed a total of 4.6 million vehicles in FY 1998. In FY 1999, the program brought in \$12.3 million and processed approximately 5.4 million vehicles. In addition, the ports at Springerville and Teec Nos Pos provide driver licensing, and the Page and Fredonia ports provide driver licensing and vehicle title and registration services.

ADOT shares its ports with ADA and DPS by providing office or trailer space as working quarters within the port of entry facility (See **Port of Entry Summary Appendix 2**). ADA had 29.7 FTE positions in FY 1999. These positions staffed four interstate ports (Ehrenberg, San Simon, Sanders, and Yuma I-8) 24 hours per day and one interstate port (Yuma Business-8) on weekdays from 8:00 a.m. to 4:00 p.m. At nine other ports, MVD personnel screen trucks for agricultural loads and fax any related paperwork to ADA's headquarters. This allows ADA's personnel to follow-up when the load reaches its destination. DPS uses seven ports as offices in remote areas and performs some of its enforcement activities at and some away from the ports.

**Program Funding** – ADOT's non-Mexican border ports of entry are funded through appropriations from the State Highway Fund. Although the ports' funding is not specifically identified in the appropriation format, their operating budget is part of MVD's appropriated operating budget. The department uses an internal budget allocation to determine the amount to support the operations of each individual port.

ADA services are paid from the state General Fund, and DPS supports its enforcement through appropriations from the General Fund and the State Highway Fund, and federal Motor Carrier Safety Assistance Program Funds.

The amounts for All Other Operating Expenditures reported in Table 1 include monies spent on specialized and general office type equipment. Examples of items in the general office category are computers, printers, fax machines, telephones, etc. Specialized equipment utilized by DPS includes standard vehicle and police equipment, and 25 sets of mobile scales utilized by DPS officers statewide. ADA and ADOT use surveillance cameras, scales, digital imaging, variable message boards, and pre-clearance screening equipment. The cameras are used to detect any unusual activity in the ports of entry surroundings; variable message boards notify commercial motorists about inspection formalities; and pre-clearance screening equipment helps personnel monitor and receive information regarding the origin, destination, and loads of vehicles. Digital imaging helps expedite the process of agricultural pest identification.

**Table 1: Port Program Revenues and Expenditures**

	FY 1998	FY 1999
<b>MVD's Revenue Collected:</b>		
Highway User Revenue Fund	\$13,484,400	\$12,272,500
<b>MVD's Expenditures:</b>		
FTE Positions	141.0	142.0
Personal Services	\$3,216,900	\$3,751,000
ERE	847,700	940,600
All Other Operating	666,300	560,300
<b>TOTAL</b>	<b>\$4,730,900</b>	<b>\$5,251,900</b>
<b>ADA's Expenditures:</b>		
FTE Positions	29.7	29.7
Personal Services	\$685,800	\$722,900
ERE	195,900	207,800
All Other Operating	174,100	198,800
<b>Total</b>	<b>\$1,055,800</b>	<b>\$1,129,500</b>
<b>DPS's Expenditures:</b>		
FTE Positions	7.5	7.5
Personal Services	\$354,500	\$394,500
ERE	71,200	76,900
All Other Operating	61,200	86,900
<b>Total</b>	<b>\$486,900</b>	<b>\$558,300</b>
<b>Total Expenditures:</b>		
FTE Positions	178.2	179.2
Personal Services	\$4,257,200	\$4,868,400
ERE	1,114,800	1,225,300
All Other Operating	901,600	846,000
<b>TOTAL</b>	<b>\$6,273,600</b>	<b>\$6,939,700</b>

\*\*\*\*\*

♦ *How does the program mission fit within the agency's overall mission and the program's enabling authority? Is it still necessary?*

The mission of ADOT's non-Mexican border ports of entry reflects ADOT's enabling authority and is consistent with MVD's overall mission to "facilitate licensing, safety programs, and compliance with motor vehicle laws."

The ports of entry are useful in enforcing Arizona's truck size, weight, and tax laws. ADA screens trucks and their cargo for agricultural pests at the ports. DPS benefits from the ports by using certain ports as offices in remote areas. They perform some of their enforcement activities at the ports and some away from the ports. ADOT has jurisdiction for implementing and enforcing federal and state laws related to motor vehicle size and weight, and for collecting highway user revenues. ADOT reports that approximately 99% of weighing of trucks entering Arizona is conducted at ports of entry for regulatory compliance.

Although there is no *specific* statutory reference in the Arizona Revised Statutes (A.R.S.) that requires the establishment of ports of entry, there are several sections in the statutes that make reference to the ports and require and/or authorize certain enforcement activities to take place at them. Additionally, Title 23 of the United States Code requires that all Arizona roads built with or receiving federal aid be subject to the state's size and weight laws and that enforcement of those laws take place. A reduction of federal highway funds could result if the United States Government determines that adequate enforcement is not occurring.

These weight and size enforcement activities deter overloads and reduce infrastructure damage to pavements and structures due to illegal weights. As illustrated in Table 2, on average, the non-Mexican border ports of entry processed more than 4.8 million commercial vehicles per year. Studies, including a report by the State Auditor General, have found that without weight enforcement, roads designed to last 15-20 years can fail within 2 years. Additionally, ADOT's Intermodal Transportation Division reports that a 10% increase in overweight vehicles could cause a \$20 million annual increase in road repair and maintenance costs.

A.R.S. § 28-5204 requires that DPS enforce motor carrier regulations. DPS also receives federal Motor Carrier Safety Assistance Program Funds, which require that they enforce vehicle safety standards statewide. The 1998 Performance Authorization Review (PAR) found that the DPS safety operations were efficient and effective and that Arizona compared favorably with other border states for the number of accidents involving commercial trucks per million miles. To both the trucking industry and DPS, the port facilities offer a safe and convenient location to conduct vehicle inspections. Motorists have the opportunity to make a single stop at the port of entry and ensure compliance with Arizona laws as administered by ADOT, DPS, and ADA.

The efforts of ADA are designed to exclude and prevent the establishment of hazardous pests in Arizona, minimize delays to motorists, and carry out the mandate of A.R.S. § 3-216, which requires that ADOT and ADA cooperate by "interagency agreement" at ports of entry to enforce the provisions of A.R.S. Title 3, Chapter 2, Article 1, related to agricultural pests. The history of ADA's role at the ports is further described in the last section of this report.

- ◆ ***Does the program meet its mission and goals efficiently and effectively, including comparisons with other jurisdictions? Do the program's performance measures and performance targets adequately capture these results?***

**The lack of national benchmarks and a systematic performance monitoring mechanism have limited the ability of this review to conclusively establish the program's effectiveness or efficiency, including the use of mobile versus fixed scales.** There is no national evidence that establishes the efficiency and effectiveness of the overall program or of using mobile versus fixed scales. Based on available data, ADOT is close to the national average for trucks weighed by mobile scales in FY 1999, with nine mobile units in use. ADOT should be above the national average for trucks weighed by mobile scales in FY 2000 with its projected use of 13 mobile units.

The historical performance measures submitted in ADOT's Self-Assessment were in most cases input and output measurements. The fact that ADOT's reported revenue exceeds its expenditures by a ratio of more than two to one might be considered to be a form of efficiency and/or effectiveness measure. Also, decreased highway maintenance costs, due to reducing the number of overweight trucks, can be



considered to be an effectiveness measure, although the cost savings is not readily quantifiable. The program's Self-Assessment provides the following efficiency measure (Table 2) to indicate ADOT's cost per vehicle processed.

**Table 2: Cost per Vehicle Processed**

	<b>FY 1996</b>	<b>FY 1997</b>	<b>FY 1998</b>	<b>FY 1999</b>
Budget	\$4,775,839	\$4,478,012	\$4,730,939	\$5,251,893
Vehicles processed	4,669,000	4,517,000	4,697,000	5,401,092
Cost/vehicle processed	\$1.02	\$0.99	\$1.01	\$0.97

◆ *Are there other cost-effective alternative methods of accomplishing the program's mission?*

ADOT has implemented some efforts to improve the ports' operations and enforcement, including the use of emerging technologies and mobile scales. However, the agency's Self-Assessment did not provide strong evidence to support their cost-effectiveness and their expansion plan. Furthermore, ADOT's lack of a current 5-Year Master Plan for the ports inhibits our ability to evaluate the present effectiveness and future direction of the program. Typically, operations of ports of entry must ensure that their workloads are processed timely to avoid traffic congestion, safety risks, and unreasonable delays to the trucking industry. ADOT is using newer technologies at some of the ports, including weigh-in-motion scales so that trucks do not have to come to a complete stop to be weighed. While it is acknowledged that in general mobile enforcement units may have deterrent effects and provide flexibility in deploying enforcement, this review recommends that before expanding the program ADOT should evaluate the efficiency and effectiveness of the current operations.

From a use of technology standpoint, five interstate ports have weigh-in-motion scales so that trucks do not have to come to a complete stop to be weighed. Also, seven interstate ports have pre-clearance technology, which allows pre-approved trucks to continue past the ports at highway speed without stopping at the port, after receiving electronic clearance to proceed as the truck approaches the port. In order to receive ADOT's approval for pre-clearance, a trucking company must meet ADOT's criteria for truck safety, weight, and driver compliance. A random 5% of trucks in the pre-clearance program receive an electronic signal telling them to stop at the port, which allows ADOT to maintain a quality control check on the trucking companies in this program.

From a federal evaluation standpoint, the FHWA annually subjectively assesses the adequacy of each state's truck size and weight enforcement program. Data from FHWA indicate that nationwide 99.1% of trucks weighed in FY 1998 were weighed at fixed stations, while only 0.9% were weighed by mobile units. ADOT reports that 99.4% of Arizona's truck weighings were on fixed scales at the ports, with 0.6% weighed by six mobile units in FY 1998. However, ADOT reports an increase to nine mobile units in FY 1999, which should bring Arizona close to the national average in FY 1999 for trucks weighed by mobile units. In addition, ADOT projects a further increase to 13 mobile units in FY 2000, which should put Arizona above the national average for trucks weighed by mobile units in FY 2000.

Recognizing the importance of enhanced enforcement, ADOT has developed a plan to increase its mobile enforcement. In part, the scheduled increase of mobile units was developed in response to a February 1997 report by the Auditor General, which recommended that ADOT should increase the use of mobile units to better ensure compliance with the weight-distance tax law. Subsequently, after the

weight-distance tax was repealed by Laws 1997, Chapter 8, the Auditor General still felt that mobile enforcement should be increased but not as much as originally thought. In fact, ADOT reports that mobile enforcement has increased from 6 mobile units in FY 1998 to 9 mobile units in FY 1999, with a further projected increase to 13 mobile units in FY 2000.

There are 33 roads leading into the state, of which only 21 have fixed ports of entry, 13 of which are non-Mexican border ports. The 12 remaining roads are commonly used by commercial vehicles entering and operating illegally and/or in violation of size and weight laws. The severity of the situation is also increased since only 7 of the 13 ports are open on a 24-hour basis. The number of vehicles circumventing/bypassing the ports of entry has been estimated at 7%, based upon the 1989 Arizona Ports of Entry Master Plan. Based on the 6.7 million vehicles passing through Arizona ports in FY 1999, 472,000 vehicles are likely circumventing/bypassing the ports. However, OSPB and JLBC Staff believe that alternative enforcement scenarios should be based on solid data regarding the cost effectiveness of fixed ports versus mobile units and ADOT's updated 5-Year Master Plan for the ports.

**Although the number of mobile enforcement units used by ADOT has increased, the fixed ports of entry inspection stations continue to be the dominant compliance mechanism.** While ADOT's Self-Assessment asserts that the increased use of technology and mobile enforcement would improve the program's efficiency and streamline its operations, it provides no assessment of their implementation and their effectiveness. The costs to operate mobile scales reportedly is higher than those of fixed ports as they require higher travel, per diem, and overtime costs. Additionally, fixed ports have the capacity to weigh and process higher volumes of trucks in a given time period. On the other hand, mobile scale units have some deterrent enforcement effect by catching overweight intrastate trucks, which do not travel through the ports. Besides a 1996 study completed for ADOT by JHK and Associates outlining the benefits and suitability of mobile enforcement strategies in Arizona, the program has not presented evidence of the cost-effectiveness of further expanding its use of mobile scales.

ADOT may also need to examine its current data collection and surveillance systems, which appear to provide limited information on truck volumes, classifications, and weights. Improving truck data collection systems should be a program priority. Such data is essential to the program's enforcement efforts and will help to guide the program's strategic directions.

**Recommendation:** OSPB and JLBC Staff recommend that the program's data tracking system and performance measurements be improved. Specifically, it is recommended that ADOT collect data on the number of trucks weighed, number overweight, revenue generated, and operating budget expenditures separately for both its fixed ports and for its mobile units. Such data would facilitate future cost comparisons between ADOT's use of fixed and mobile scales. This data should be included in ADOT's 5-Year Master Plan for the ports, which is currently being updated (it was last updated in 1989). The updated Master Plan can then be used to help evaluate the future direction of the program, including the best use and mix of fixed scales, mobile scales, and newer technologies. OSPB and JLBC Staff recommend that ADOT submit its updated 5-Year Master Plan for the ports, to the Governor and the Legislature by July 1, 2000. In addition, OSPB and JLBC Staff recommend that ADOT submit a report on how it has improved its collection, analysis, and use of data in these areas to the Governor and the Legislature by September 1, 2001.

- ◆ *Should the program area be consolidated into one budget unit if the area is administered by more than one budget unit?*

There is no positive evidence to support that consolidation into one budget unit would improve or lead to a more efficient resource allocation. However, OSPB and JLBC Staff recommend modifying the Ports of Entry Program by having the three agencies jointly examine innovative and efficient ways to further staff cross-training and development.

### **JLBC Staff Perspective**

JLBC Staff and OSPB agree that the involvement at the ports of the Departments of Transportation, Agriculture, and Public Safety has enabled these agencies to share the port of entry facilities and sometimes assist each other. Only JLBC Staff, however, finds that the level of cooperation between agencies has varied considerably. Although it may not be feasible to consolidate the port operations of the three agencies, there are definite opportunities for increased coordination.

The JLBC Staff believes that the three agencies should be more strongly encouraged to pursue interagency cooperation at the ports, and that they should be held more accountable for results by reporting on specific items to the Governor and Legislature by July 1, 2000. OSPB recommends that DPS and ADOT establish an interagency agreement covering their port activities, and that ADOT increase efforts and explore creative methods to enhance and promote efficient interagency cooperation with DPS and ADA. OSPB also recommends that the current interagency agreement between ADOT and ADA be updated to reflect all major terms of their cooperation, and that ADOT provide to the JLBC and OSPB directors a written update on the progress of these recommendations by July 1, 2000.

### **OSPB Perspective**

OSPB finds that the involvement at the ports of the Departments of Transportation, Agriculture, and Public Safety has enabled these agencies to share the port of entry facilities and sometimes assist each other to strengthen their respective enforcement activities. However, OSPB found that ADOT and DPS do not have an interagency agreement reflecting their agreed upon levels of service, and that the current interagency agreement between ADOT and ADA did not reflect all the terms of their respective cooperation. The consolidation of these agencies may not be feasible at this time, since they perform different functions at the ports.

OSPB recommends that ADOT and DPS enter into an interagency agreement to reflect and specify all key components in their business, responsibilities, and cooperative efforts at the ports. It is also recommended that the current interagency agreement between ADOT and ADA be updated to include all major terms and levels of their mutual cooperation, and that ADOT provides to the JLBC and OSPB directors by July 1, 2000, a written update on the progress of these recommendations.

### **Joint Perspective**

All three state agencies benefit by sharing the port of entry facilities and by sometimes assisting each other as circumstances warrant or permit, although the level of cooperation between agencies has varied. Since ADOT, ADA, and DPS conduct different functions at the ports, it may not be feasible to consolidate them.

However, although each agency has duties for which it has primary responsibility, some overlap exists in responsibilities between the three departments, particularly between ADOT and DPS. This is mostly due to the fact that the commercial trucking industry is a main client/customer to each of these three agencies, and they may have official business to conduct with any one or more of these departments.

ADOT has the principal responsibility for examining commercial vehicles for compliance with Arizona's laws regarding registration, licensing, fees, financial responsibility, and size/weight regulations. DPS has truck size and weight enforcement as a secondary responsibility. DPS remains the lead state agency for conducting truck and driver safety inspections, while for ADOT this is a secondary responsibility. DPS is also the state agency responsible for training state and local personnel to do these truck safety inspections. ADA is principally charged to inspect incoming commercial vehicles for plant infestations, livestock diseases, and to conduct enforcement of quarantine laws.

These agencies cooperate with and assist one another to enhance their respective enforcement activities and to overcome field challenges, but also to meet either federal guidelines and/or state laws. FHWA, for instance, encourages local agencies to coordinate efforts when enforcing motor carrier laws. ADA's border inspection stations were closed and its budget reduced in FY 1993. Then in FY 1994, ADA border inspections were re-established, with department personnel operating out of four ADOT ports of entry. A.R.S. § 3-216 requires that ADOT and ADA cooperate (via an interagency agreement) at ports of entry to enforce the provisions of A.R.S. Title 3, Chapter 2, Article 1, regarding dangerous plants and diseases. Since 1996, ADA and ADOT have had an interagency agreement, which provides for ADOT personnel to assist ADA in its agricultural screening functions, including performing certain tasks at ports where no ADA personnel are stationed.

### **JLBC Staff Perspective**

The JLBC Staff received some anecdotal reports from each of the three agencies of interagency personnel conflicts at the ports, which the involved agencies have addressed on an ad hoc basis in the past. Levels of cooperation and conflict have varied among the three agencies, at different ports and at different times. ADOT and ADA have an interagency agreement dated January 1996, specifying terms of cooperation between them at the ports. There are no such interagency agreements between DPS and ADOT, or between ADA and DPS. Several years ago DPS and ADOT had an interagency agreement to cooperate on running a joint agency task force for truck safety inspections, which ADOT staffed with port personnel. The DPS director ended that interagency agreement, effective October 31, 1998, due to conflict and disagreement between the two agencies over its implementation, and with each agency accusing the other of bad faith efforts to make the interagency agreement work. The JLBC Staff found that there are definite opportunities for improved and increased coordination and cooperation, between the three agencies at the ports.

**JLBC Staff Recommendation:** JLBC Staff recommends that the port of entry program be modified, with the following provisions:

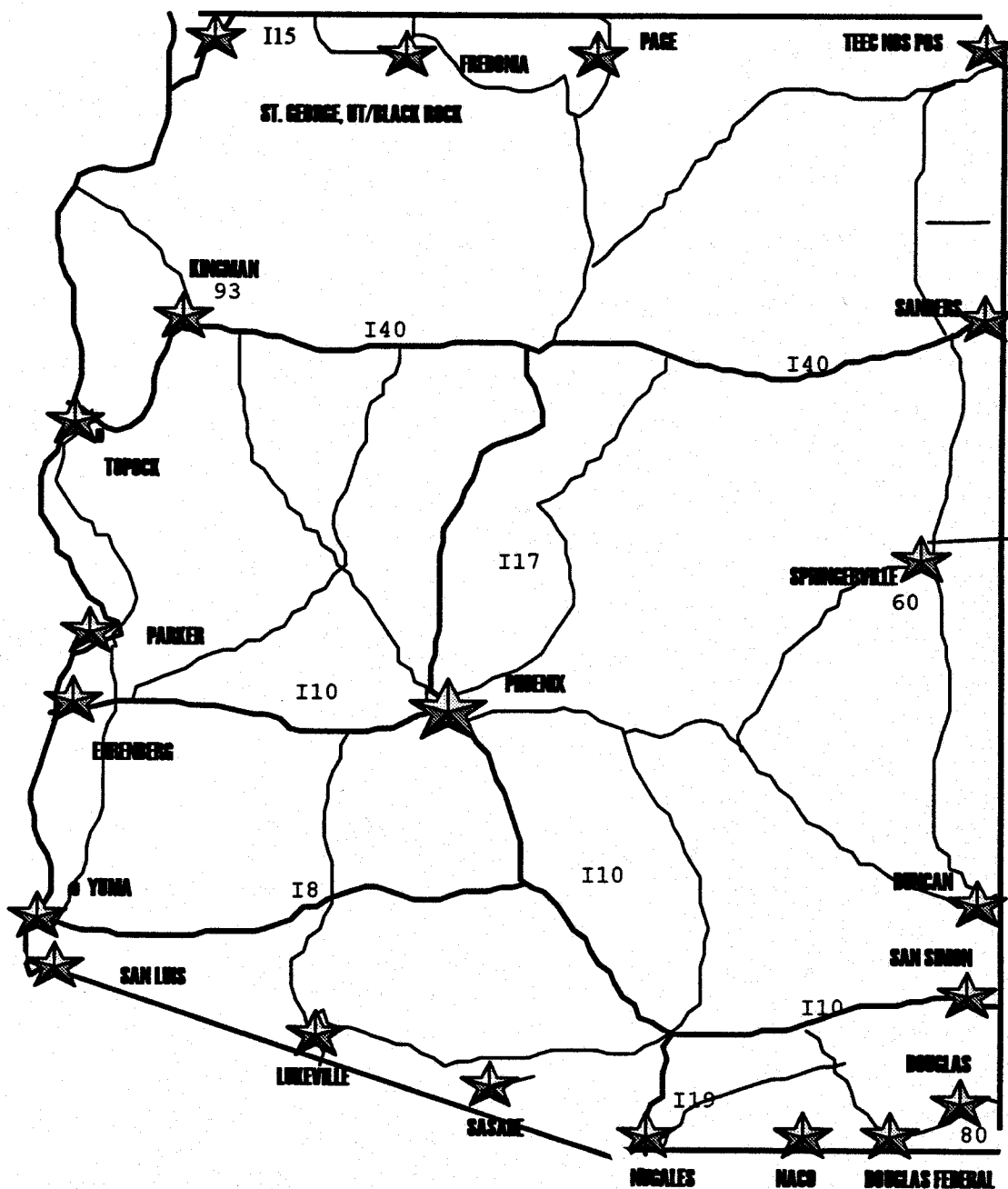
- JLBC Staff and OSPB agree that the three agencies should jointly examine innovative and efficient ways to further staff cross-training and development. The JLBC Staff further recommends that ADOT report specifically on the more extensive use of cross-training to allow one person to conduct all checks, and on the use of interagency team building activities at the ports.

- JLBC Staff recommends that the three agencies should explore how they can make better use of interagency agreements to foster more cooperation. JLBC Staff recommends putting more specificity into the existing interagency agreement between ADOT and ADA, and establishing separate interagency agreements between ADOT and DPS, and between DPS and ADA.
- JLBC Staff recommends that ADOT, ADA, and DPS report on how the three agencies will work better together at the ports, including but not limited to the specific items mentioned above, to the Governor and Legislature by July 1, 2000.

**OSPB Recommendation:** OSPB recommends that the port of entry program be modified, with the following provisions:

- ADOT should increase efforts, and explore creative methods to enhance and promote efficient interagency cooperation with DPS and ADA. The involved agencies should jointly examine feasible and innovative ways to further staff cross-training and development.
- ADOT and DPS should enter into an interagency agreement to reflect and specify all key components in their business, responsibilities, and cooperative efforts at the ports.
- ADOT and ADA need to update the existing interagency agreement to reflect all major terms and levels of their mutual cooperation.
- It is recommended that ADOT provide to the JLBC and OSPB directors a written update on the progress of these recommendations by July 1, 2000.

# Arizona Ports of Entry



Note: The SPAR review focused primarily on non-Mexican border port-of-entry.

# Non-Mexican Port-of-Entry Summary FY 1999

Ports	FTE Positions			ADOT		Traffic <sup>13/</sup>	Scales		Pre-Clearance Systems <sup>15/</sup>	Hours of Operation
	ADOT	DPS <sup>11/</sup>	AGR <sup>11/</sup>	Revenues	Expenditures <sup>12/</sup>		Weight-In Motion <sup>14/</sup>	Static		
Major <sup>1/</sup>	Ehrenberg <sup>4/</sup>	18	0.5	7.0	\$1,976,700	\$601,400	\$3.29	1,037,422	Yes	24 hours Every Day
	Sanders <sup>4/</sup>	21	1.0	7.0	1,805,800	721,000	2.50	1,963,448	Yes	24 hours Every Day
	San Simon <sup>4/</sup>	21	1.0	8.7	1,708,400	603,000	2.83	1,108,503	Yes	24 hours Every Day
	Topock	16	1.0		763,800	537,700	1.42	716,459	No	24 hours Every Day
	Yuma <sup>5/</sup>	16	1.0	7.0	1,694,700	545,100	3.11	329,196	No	24 hours Every Day
	St George <sup>6/</sup>	14	1.0		1,559,100	557,000	2.80	1,085,611	Yes	24 hours Every Day
Mid-Size <sup>2/</sup>	Phoenix <sup>7/</sup>	5			2,158,900	417,500	5.17	0	No	8AM-5PM, Mon-Fri
	Kingman	6	2.0		224,800	248,200	0.91	223,395	Yes	24 hours Every Day
	Page <sup>8/</sup>	5			114,300	141,700	0.81	48,819	No	8-15 hours, Mon-Fri
	Parker	6			42,100	132,200	0.32	19,803	No	8-15 hours, Mon-Fri
Small <sup>3/</sup>	North Central <sup>9/</sup>	3			0	270,700	0.00	0	No	8AM-5PM, Mon-Fri
	Duncan	3			36,600	94,600	0.39	27,501	No	8-15 hours, Mon-Fri
	Fredonia <sup>9/</sup>	2			73,000	100,600	0.73	23,269	No	8-15 hours, Mon-Fri
	Springerville <sup>10/</sup>	2			16,800	90,600	0.19	67,341	No	8-15 hours, Mon-Fri
	Teec Nos Pos <sup>10/</sup>	4			97,600	190,600	0.51	85,248	No	8-15 hours, Mon-Fri
TOTAL		142	7.5	29.7	\$12,272,600	\$5,251,900	\$2.34	6,736,015		

## Footnotes:

- 1/ Located on major interstate highway, with 15 or more employees, operating 24 hours per day, 7 days per week.
- 2/ On a State route, with 4 to 14 employees, operating 8 to 15 hours per day, Monday through Friday (Kingman is open 24 hours, 7 days per week).
- 3/ On a State route, with 3 or less employees, operating 8 to 15 hours per day, Monday through Friday.
- 4/ Inspects trucks entering Arizona for New Mexico, which reciprocates for trucks leaving Arizona at Gallup and Lordsburg, per intergovernmental agreement.
- 5/ Yuma area has a second port located on B-8 business route. Figures reported include both ports.
- 6/ Jointly operated with Utah and staffed by both Arizona and Utah personnel.
- 7/ Operates as the Phoenix Internal Port of Entry (POE), issuing permits and pre-clearances for trucks.
- 8/ This POE also houses and provides driver licensing services, and title and registration of vehicles to the public.
- 9/ North Central serves an administrative unit to support the POEs of Northern Arizona. No vehicles are inspected at this location.
- 10/ This POE also houses and provides driver licensing services to the public.
- 11/ The Department of Agriculture seeks to prevent the establishment of hazardous pests in Arizona through inspections and detection of dangerous pests in agricultural loads of commercial vehicles. DPS performs mechanical and driver safety inspections of commercial vehicles.
- 12/ From the appropriated State Highway Fund operating budget.
- 13/ Includes commercial vehicles processed, pre-cleared, and waved through.
- 14/ Vehicles can cross weigh-in-motion scales at 10 miles per hour, without having to come to a complete stop as they do on fixed (static) scales.
- 15/ Automated method of pre-clearing vehicles so they do not have to stop at the ports.

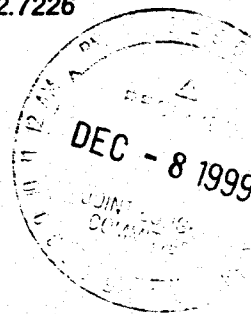


Jane Dee Hull  
Governor

Mary E. Peters  
Director

# Arizona Department of Transportation

206 S. 17<sup>th</sup> Ave. Phoenix, Arizona 85007-3213  
Phone 602.712.7226



Victor M. Mendez  
Deputy Director

December 8, 1999

Mr. Thomas J. Betlach, Director  
Office of Strategic Planning & Budget  
1700 West Washington, Suite 500  
Phoenix, Arizona 85007

Mr. Richard Stavneak, Director  
JLBC Staff  
1716 West Adams  
Phoenix, Arizona 85007

Dear Messrs. Betlach and Stavneak:

Your November 30, 1999 letter to David Jankofsky, Manager – Strategic Planning and Budgeting, transmitted joint staff recommendations relative to the Strategic Program Area Review (SPAR) process for Ports of Entry and requested written comments by December 8<sup>th</sup>.

ADOT, by and large, substantially agrees with the philosophy and substance of the recommendations in your report. We have, however, commented on specific recommendations made in the report, which are attached.

If you have any questions regarding the attached, please contact me or David Jankofsky, Manager of Strategic Planning and Budgeting. David can be reached at 602/712-8981 and I can be reached at 602/712-7227. Thank you for your assistance.

Sincerely,

for Mary E. Peters

Cc: Sam Maroufkhani, Chief of Staff  
Stacey Stanton, Assistant Director  
David P. Jankofsky, Manager – Strategic Planning & Budgeting  
Marcel Benberou, OSPB Budget Analyst  
Bob Hull, JLBC Principal Research/Fiscal Analyst  
Monica Klaschka, OSPB Strategic Management Analyst  
Lynne Smith, JLBC Senior Fiscal Analyst

Attachment

MEP/BM/slb

A-15

RECORDED 00/110/0000



# ARIZONA DEPARTMENT OF TRANSPORTATION

## RESPONSE TO THE REPORT OF THE GOVERNOR'S OFFICE OF STRATEGIC PLANNING AND BUDGETING AND JOINT LEGISLATIVE BUDGET COMMITTEE STAFF

December 8, 1999

The Arizona Department of Transportation has received and reviewed the Report of the above-referenced entities regarding the Motor Vehicle Division's non-Mexican border ports of entry. The following response individually addresses the recommendations contained in the Report:

Joint Recommendation 5-Year Plan: *OSPB and JLBC Staff recommend that the program's data tracking system and performance measurements be improved. Specifically, it is recommended that ADOT collect data on the number of trucks weighed, number overweight, revenue generated, and operating budget expenditures separately for both its fixed ports and for its mobile units. Such data would facilitate future cost comparisons between ADOT's use of fixed and mobile scales. This data should be included in ADOT's 5-Year Master Plan for the ports, which is currently being updated (it was last updated in 1989). The updated Master Plan can then be used to help evaluate the future direction of the program, including the best use and mix of fixed scales, mobile scales, and newer technologies. OSPB and JLBC Staff recommend that ADOT submit its updated 5-Year Master Plan for the ports to the Governor and Joint Legislative Budget Committee by March 1, 2000.*

ADOT substantially agrees and accepts this recommendation.

A draft of the 5-Year Master Plan was completed during the period the SPAR was written and evaluated. As it goes through its final review process we will ensure that it contains as much as possible of the historical baseline data that the recommendation requests. Additionally, we will ensure that the measurements used to evaluate the effectiveness of the program are true "outcome" measurements. An approach for evaluating the proper mix of fixed versus mobile enforcement points will also be included.

JLBC Recommendation on Cross Training: *JLBC Staff and OSPB agree that the three agencies should jointly examine innovative and efficient ways to further staff cross-training and development. JLBC Staff further recommends that ADOT report specifically on the more extensive use of cross training to allow one person to conduct all checks, and on the use of interagency team-building activities at the ports.*

OSPB Recommendation on Cross Training: *ADOT should increase efforts and explore creative methods to enhance and promote efficient interagency cooperation with DPS and ADA. The involved agencies should jointly examine feasible and innovative ways to further staff cross training and development.*

ADOT agrees with the philosophy of these recommendations with limitations based on statutory authority.

The recommendations are technically different, but get to the same issue: cooperation among the three agencies that work at the MVD ports. We will commit to hosting a meeting with the appropriate personnel of ADA and DPS in order to develop a Plan for taking interagency cooperation as far as it can reasonably go, including but not limited to enhancement of the existing cross-training that currently takes place.

JLBC Recommendation on Interagency Agreements: *JLBC Staff recommends that the three agencies should explore how they can make better use of interagency agreements to foster more cooperation. JLBC Staff recommends putting more specificity into the existing interagency agreement between ADOT and ADA, and establishing separate interagency agreements between ADOT and DPS, and between DPS and ADA. OSPB recommends that ADOT and DPS enter into an interagency agreement to reflect and specify all key components of their cooperative efforts, and that the existing interagency agreement between ADOT and ADA be updated to reflect all major transactions and terms of their cooperation at the ports.*

OSPB Recommendation on Interagency Agreements: *ADOT and DPS should enter into an interagency agreement to reflect and specify all key components in their business, responsibilities, and cooperative efforts at the ports.*

*ADOT and ADA need to update the existing interagency agreement to reflect all major terms and levels of their mutual cooperation.*

ADOT substantially agrees with the recommendations.

Once again, the recommendations differ by degree, but ADOT will update its existing interagency agreement with ADA and will develop one with DPS, covering all the major items of cooperation agreed to pursuant to the recommendation above on interagency cooperation.

JLBC Recommendation on Reporting Requirements: *JLBC Staff recommends that ADOT, ADA, and DPS report on how the three agencies will work better together at the ports, including but not limited to the specific items mentioned above, to the Governor and Legislature by July 1, 2000.*

OSPB Recommendation on Reporting Requirements: *It is recommended that ADOT provide to the JLBC and OSPB directors a written update on the progress of these recommendations by July 1, 2000.*

ADOT substantially agrees with the substance of these recommendations.

The recommendations again differ only by degree, and probably accomplish the same purpose. ADOT commits to taking the lead role in reporting to the JLBC and OSPB directors of the

progress of the three agencies in enhancing cooperation. If the JLBC Staff director desires to share that report with his Committee, that is his prerogative. For ADOT's part, anything involving interagency cooperation is brought to the level of the Governor's Office, either by the agency directors themselves, or by the OSPB if it involves a planning or budgeting matter.

JANE DEE HULL  
Governor



SHELDON R. JONES  
Director

# Arizona Department of Agriculture

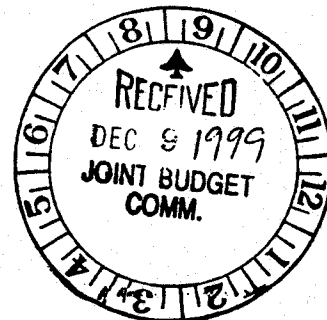
1688 West Adams Street, Phoenix, Arizona 85007  
(602) 542-0998 FAX (602) 542-5420

OFFICE OF DIRECTOR

December 8, 1999

Thomas J. Betlach, Director  
Governors' Office of Strategic Planning and Budgeting  
1700 West Washington, Suite 500  
Phoenix, Arizona 85007

Richard Stavneak, Director  
Joint Legislative Budget Committee  
1716 West Adams Street  
Phoenix Arizona 85007



Dear Messrs. Betlach and Stavneak:

I have reviewed the Strategic Program Area Review (SPAR) for Ports of Entry you forwarded to me on November 30, 1999 and appreciate the opportunity to share with you the Arizona Department of Agriculture's (ADA) response to its findings and recommendations.

As the SPAR report explains, the Arizona Department of Agriculture (ADA) is mandated to cooperate with the Arizona Department of Transportation (ADOT) at Arizona's borders to intercept agricultural pests, weeds, and livestock diseases. Largely due to the ADA's presence at the ports, Arizona's economy enjoys the luxury of shipping agricultural goods and products from one of the only pest-free states in the country. From farmers to ranchers, landscape contractors to nurseries, as well as the general public, the ADA is assuring the State's numerous interests are protected from dangerous plant and animal pests and diseases.

We generally support the findings and recommendations of this SPAR and have the following comments with regard to its content.

First, the ADA fully supports the recommendation that it work with ADOT to update our existing interagency agreement to reflect all major terms of our cooperation and, upon publication of the SPAR, will initiate such an update.

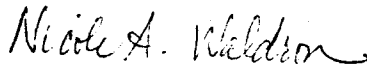
Second, JLBC recommends that ADA, Motor Vehicle Division of ADOT (MVD), and Department of Public Safety (DPS) "should be more strongly encouraged to pursue interagency cooperation at the ports, and that they should be held more accountable for results by reporting on specific items to the Governor and the Legislature by July 1, 2000." However, the report does

not indicate what "specific items" should be included in this report to the Governor and the Legislature. The ADA is happy to share the data it presently collects, as well as any new measures you recommend, for inclusion in the July 1, 2000 submission.

Third, the ADA questions to what extent the three agencies are being charged to "pursue interagency cooperation at the ports." With a statewide program staffed only by 29.7 FTEs and an operating budget in FY2000 of \$973,655, the ADA has worked diligently to find innovative and cost-effective means to operate consistently out of four ports of entry, seven days a week, twenty-four hours a day. If there are further efficiencies to be gained to the benefit of Arizona's citizens, without compromising the quality of services provided by our department, we will work with our sister agencies to see them implemented.

Again, thank you for providing the Arizona Department of Agriculture the opportunity to review and respond to the Ports of Entry SPAR. We look forward to its publication. If you have any questions or concerns about the ADA's response, please contact me at (602) 542-0800.

Sincerely,



Nicole A. Waldron  
LEGISLATIVE LIAISON

Cc: Marcel Benberou, OSPB Budget Analyst  
Bob Hull, JLBC Principal Research/Fiscal Analyst  
Paul Shannon, JLBC Fiscal Analyst  
Monica Klaschka, OSPB Strategic Management Analyst  
Lynne Smith, JLBC Senior Fiscal Analyst

# ARIZONA DEPARTMENT OF PUBLIC SAFETY

2102 WEST ENCANTO BLVD. P. O. BOX 6638 PHOENIX, ARIZONA 85005-6638 (602) 223-2000



JANE DEE HULL  
GOVERNOR

JOE ALBO  
DIRECTOR

December 13, 1999

DEC 15/1999  
JOINT BUDGET  
COMMITTEE

Mr. Richard Stavneak, Director JLBC  
Office Of The Governor  
Joint Legislative Budget Committee  
1716 West Adams  
Phoenix, Arizona 85007

Dear Mr. Stavneak:

I agree with the overall assessment of OSPB and JLBC staff as presented within this SPAR. However there are several issues, which need to be clarified.

I concur with the recommendation for the establishment of an IGA between the Arizona Department of Transportation and the Department of Public Safety and between DPS and the Arizona Department of Agriculture. We at the Department of Public Safety will gladly explore with ADOT/MVD the creation of this agreement as well as with ADA.

In regards to the funding sources for the activities at the ports, the Department of Public Safety also utilizes funding from the Motor Carrier Assistance Program (MCSAP) for its port efforts.

During the discussion of the mobile scales available to MVD there is no mention of the mobile scales utilized by the Department of Public Safety. There are currently 25 sets of mobile scales being utilized by DPS officers statewide. This includes platform scales, weight-in motion scales, and sets of *wheel weighers* (individual wheel scales).

Sincerely,

  
Gary E. Hughes, Captain  
Special Services Commander

GEH/rm

RECORDED 00/110/2000

**DOMESTIC VIOLENCE**  
**Department of Economic Security and Administrative Office of the Courts**  
**JLBC/OSPB Joint SPAR Report**

**OVERVIEW** - This Strategic Program Area Review (SPAR) combines reviews of the Department of Economic Security's (DES) Domestic Violence program and the Administrative Office of the Courts' (AOC) Domestic Violence subprogram. Because these programs are the only two Domestic Violence programs specifically defined in the Master List of State Government Programs, this SPAR only formally reviews these programs. Since six other state agencies provide domestic violence services as well, this SPAR also addresses the statewide system of domestic violence programs. Although those agencies, such as the Governor's Office for Domestic Violence Prevention (ODVP) and the Arizona Criminal Justice Commission (ACJC), did not need to submit a formal self-assessment, some submitted additional comments on the SPAR. This joint report is an update with some information repeated from the last Program Authorization Review (PAR) on these two programs.

The Domestic Violence program within DES's Community Services Administration contracts with private nonprofit shelters to provide a continuum of direct services to victims of domestic violence, their families, and perpetrators. DES also supports a statewide network of service providers and offers technical assistance to contract providers and other members of the domestic violence network. The Domestic Violence program's mission is to protect the victims of domestic violence and their children.

The mission of AOC's Domestic Violence subprogram is to improve the administration of justice in Arizona communities by assessing state and local court proceedings and services as related to the issues of domestic violence and to make recommendations for judicial system changes that promote safety for victims and those who interact with them in the courts.

DES's Self-Assessment met the submittal requirements and contained the required information. DES staff were helpful in providing additional information to the staffs at JLBC and OSPB. AOC's Self-Assessment complied with the SPAR guidelines and was generally well-written.

After reviewing the agency Self-Assessments, JLBC Staff and OSPB reached the following conclusions:

**JLBC Staff Findings and Recommendations**

- **Despite some instances of increased collaboration, lack of coordination between state agencies still inhibits the efficient allocation of resources among domestic violence shelters.**
- **OSPB recommends that funding agencies participate in a new collaborative initiative to divide their resources amongst the shelters so that each shelter receives the appropriate level of funding. JLBC Staff believes that coordination of these resources cannot eliminate the inherent inefficiency of six different agencies providing direct services to domestic violence victims.**
- ✓ **Recommendation:** JLBC Staff recommends modifying the program by consolidating resources related to direct services to domestic violence victims in DES and consolidating of some law enforcement/prosecution monies in ACJC as follows:

- ODVP would transfer direct administration of direct service and law enforcement grants to DES and ACJC, respectively. ODVP would remain responsible only for policy coordination, prevention, and training.
- The Legislature should appropriate the portion of the federal domestic violence funding that allows states discretion in allocating these monies to direct services or law enforcement.
- The Department of Public Safety (DPS) would transfer the direct services component of the federal Victims of Crime Act program (approximately 40% of the grant) to DES.
- ACJC would transfer the direct services component of its Victim Assistance appropriation (approximately 35% of the grant) to DES.
- The Department of Health Services (DHS) would transfer the federal Family Violence Prevention and Services Program grant to DES.
- **Although the total amount of funding for domestic violence has increased since the 1998 PAR, there have been few, if any, increases in shelters for categories such as beds available, counseling, and education and outreach.**
- ✓ **Recommendation:** JLBC Staff recommends that any administrative savings generated from consolidating resources to domestic violence victims be redirected at increasing those services.

#### OSPB Findings and Recommendations

- **Since the original PAR in 1998, progress has been made; however, enhanced collaboration between agencies providing domestic violence services would increase efficiency.**
- ✓ **Recommendation:** OSPB recommends that funding agencies participate in a new collaborative initiative to divide the resources that are available to them amongst shelters so that each shelter receives the appropriate amount of funding.

#### Joint Findings and Recommendations

- **The lack of outcome measures makes it difficult to evaluate overall effectiveness of the system.**
- ✓ **Recommendation:** OSPB and JLBC Staff recommend that DES report to the Governor and the Legislature by June 30, 2000 on the baseline cost-effectiveness information being collected and on other recommended outcome measures that should be developed in consultation with other state agencies and interested stakeholders.

**Program Description** - Because of the statewide nature of the domestic violence system, we will discuss the DES and AOC programs first and then the programs of the other six agencies.

DES's Domestic Violence program protects victims of domestic violence and their children by providing shelter and supportive services through private nonprofit facilities and safe houses.



Supportive services include crisis intervention, transitional shelter, case management, intervention, guidance counseling, and coordination of a service provider network. The program also concentrates its efforts on program development and interagency collaboration with other state agencies associated with domestic violence prevention. These services are described in greater detail below:

- **Direct Services** - Community-based organizations provide a continuum of direct services for victims of domestic violence through contracts with DES. These services include crisis intervention (shelter and counseling for 30-90 days after victims flee an abusive situation), transitional shelter (requiring more than 90 days of services), case management, and counseling.
- **Program Development** - Program development activities include data collection, analysis, and statewide distribution of information regarding shelter programs throughout the state; resource development for domestic violence programs through grant writing; and analysis of domestic violence legislation.
- **Interagency Collaboration and Coordination** - DES is one of eight members of the START task force, an interagency domestic violence task force created to address the issue of coordination between agencies and make recommendations for improvement of service.

The AOC established the Domestic Violence subprogram to assist in the education of judges and court personnel on domestic violence issues. The subprogram was established to identify inconsistent practices and adopt standardized policies to be followed by courts statewide in handling domestic violence cases. The subprogram also monitors Arizona judicial proceedings and provides training to judges and court personnel in the appropriate handling of domestic violence cases. It monitors the implementation of victims' rights statutes regarding notification, probation modifications, minimizing contact between victims and perpetrators, and courtroom safety procedures.

In addition to DES and AOC, six other agencies provide domestic violence services. The DES and AOC programs were formally the subject of the SPAR since they are the only ones identified as discrete programs in the Master List of State Government Programs. The other agencies are:

- **Office of Domestic Violence Prevention (ODVP)**: Provides a broad array of services including direct services to victims, law enforcement and prosecution grants, and prevention and training services. Located within the Governor's Office, ODVP uses federal STOP grant monies and General Fund monies passed through from DES.
- **Department of Health Services (DHS)**: Provides some direct services to victims, as well as prevention and training services. The department uses primarily Federal Funds.
- **Department of Commerce**: Provides monies for capital expenditures to shelters. The department uses primarily federal Home Investment Partnership Program and Housing Trust Fund monies.
- **Department of Public Safety (DPS)**: Provides direct (supportive) services to victims and uses federal Victims of Crime Act (VOCA) monies.
- **Arizona Criminal Justice Commission (ACJC)**: Provides funds for direct services to victims, as well as victim compensation monies. The ACJC uses monies from parole fees and Criminal Justice Enhancement Fund (CJEF) monies.
- **Attorney General**: Provides funds for victims rights services. They primarily use CJEF and General Fund monies.

**Table 1: FY 1999 Personnel and Facility Utilization**

Agency	Personnel	Facilities	Equipment
Department of Economic Security	5.2 FTE	for those employees	for those employees
Administrative Office of the Courts	1.0 FTE	for one employee	for one employee

**Program Funding** - In FY 1998, DES administered about 40% of the \$10 million designated specifically for domestic violence services (see Table 3). DES' funds come from a variety of federal and state dollars. The following is a brief description of the sources of funding:

- **General Fund** - Appropriations from the General Fund include dollars from the "Domestic Violence Prevention" and the "Coordinated Homeless Program" Special Line Items in the DES budget. The Domestic Violence Prevention line item funds domestic violence services and related prevention activities. The Coordinated Homeless Program line item pays for the general operating cost of the shelter facilities.
- **Temporary Assistance for Needy Families Block Grant** - Provides temporary assistance to a household who has an emergency need which cannot be met by its own resources. Contractors utilize these funds to pay service costs for qualifying clients.
- **Title XX Social Services Block Grant** - This grant comes from a Federal Fund source that supports a broad variety of social services. Domestic violence programs are among the eligible uses of these monies. A state match is not required to leverage these funds.
- **Emergency Shelter Grant** - Federal program that provides funds for the renovation and rehabilitation of shelter facilities and/or general operating expenses.
- **Domestic Violence Shelter Fund** - DES administers a portion of state marriage and divorce fees collected under A.R.S. § 36-3002. These funds are placed in the appropriated Domestic Violence Shelter Fund and distributed to domestic violence shelters in accordance with statute.

**Table 2: Program Expenditures**

Expenditures	FY 1998	FY 1999	FY 2000
Department of Economic Security			
State Funds	\$1,108,800	\$1,111,100	\$2,257,900
Federal Funds	1,805,900	2,111,500	2,624,200
Other Funds	1,096,300	1,294,900	1,509,100
Total Expenditures	\$4,011,000	\$4,517,500	\$6,391,200 <sup>1/</sup>
Administrative Office of the Courts			
State Funds	\$45,000	\$64,100	\$51,200
Federal Funds	0	0	250,000
Other Funds	25,000	54,400	0
Total Expenditures	\$70,000	\$118,500	\$301,200

<sup>1/</sup> DES's FY 2000 amount includes an increase of \$1,100,000 from the General Fund. This amount is also included in the FY 2001 appropriation.

**Table 3: Domestic Violence Funding by State Agency**

Agency (Program)	FY 1996	FY 1997	FY 1998
<b>General Crime Victim Funding Used for Domestic Violence Victims</b>			
Attorney General (Office of Victim Services) <sup>1/</sup>	\$157,300	\$193,000	\$198,700
ACJC (Victim Assistance) <sup>2/</sup>	208,500	203,100	204,800
ACJC (Compensation) <sup>3/</sup>	91,000	114,000	100,100
DPS (Victims of Crime Act)	524,400	967,400	1,129,700
Subtotal (estimated)	981,200	1,477,500	1,633,300
<b>Domestic Violence Victims Only</b>			
Commerce	1,014,700	1,190,800	1,182,800
Economic Security	3,599,300	3,449,900	3,885,800
Governor's Office for Domestic Violence Prevention	564,400	1,463,200	2,444,100
Health Services	178,400	553,400	520,600
Supreme Court <sup>4/</sup>	52,500	108,500	70,000
Subtotal	5,409,300	6,765,800	8,103,300
<b>TOTAL</b>	<b>\$6,390,500</b>	<b>\$8,243,300</b>	<b>\$9,736,600</b>

<sup>1/</sup> Consists of an estimated 13% of Victims' Rights Fund expenditures, excluding monies spent by the juvenile courts, Department of Juvenile Corrections, and Department of Corrections.

<sup>2/</sup> Includes monies directly awarded to domestic violence programs, as well as an estimated 13% of monies awarded to multiple services programs that provide services to all types of crime victims.

<sup>3/</sup> FY 1996 data are from Federal Fiscal Year 1996; other data are from the State Fiscal Year.

<sup>4/</sup> Does not include monies passed through from other state government entities.

\*\*\*\*\*

♦ ***How does the program mission fit within the agency's overall mission and the program's enabling authority? Is it still necessary?***

The DES Domestic Violence program's mission is to protect the victims of domestic violence and their children and to improve the comprehensive domestic violence program in Arizona. In the 1998 PAR, we found that the DES Domestic Violence program's mission - to work with people they serve to achieve their self-sufficiency - fits well within DES's mission because the services provided in the shelters helped clients achieve self-sufficient outcomes. The program mission also fits well within the program's enabling authority. A.R.S. § 41-1954A.1(b) allows DES to provide individual and family services under Title XX of the Social Security Act. Since the Domestic Violence program's mission is unchanged, the mission still fits within the agency's overall mission and the program's enabling authority.

The AOC Domestic Violence subprogram was created by Administrative Order (No. 94-14) of the Chief Justice of the Arizona Supreme Court. In the 1998 PAR, we found that the subprogram's mission - to improve the administration of justice in Arizona communities as related to the issues of domestic violence - fits well within the Judicial System's mission to provide judicial and administrative functions mandated by Arizona law and the Constitution. The SPAR team still believes that the subprogram's mission fits within the Judicial System's overall mission.

The problem of domestic violence has received increased attention in recent years. The number of persons being arrested for domestic violence offenses is higher than just a few years ago. Domestic violence shelters report that they are unable to provide shelter beds for every person that requests one. These trends have led DES to provide funding, both state-appropriated and non-appropriated, to shelters to help with the costs of providing services to domestic violence victims. The AOC instituted its domestic violence subprogram to improve processing of domestic violence cases. Both the DES and AOC programs are necessary to help address the problem of domestic violence.

- ♦ *Does the program meet its mission and goals efficiently and effectively, including comparisons with other jurisdictions? Do the program's performance measures and performance targets adequately capture these results?*

Because the issues of efficiency and effectiveness in domestic violence programs are complex, we have organized the discussion in this section into two parts, each addressing one of those issues.

### Efficiency

The five agencies that provide funding directly to domestic violence shelters for ongoing shelter costs (DES, DHS, DPS, ODVP, ACJC) process their own applications for funding without formally consulting with the other state agencies that provide these funds. Under these circumstances, shelters may not receive the appropriate amount of funding. Between FY 1993 and FY 1998, shelters' expenditures of DES funds increased by 86%, from \$2.1 million to \$3.9 million. Shelters used some of these increases to provide additional services, but they may also have used these monies to offset decreases in their other sources of funding. The grants made by the five agencies listed above are not formally coordinated with the mostly capital grants for shelters made by the Department of Commerce.

Agencies and organizations that distribute domestic violence funds have reported some increases in collaboration as a result of the original 1998 PAR. ODVP indicated that DPS and ACJC combined their annual performance reports; DHS and DES collaborated to develop an Request for Proposal (RFP) for shelter services and to improve the annual shelter data report; DES assisted ODVP with the planning and development of a joint cross training project on the impact of the family violence option; and DHS reported that the Governor's Staff Technical Assistance Response Team (START) meetings provided opportunities to share programmatic information. There is also some informal collaboration between individual START members.

### JLBC Staff Perspective

**Despite some instances of increased collaboration, lack of coordination between state agencies still inhibits the efficient allocation of resources among domestic violence shelters.** JLBC Staff recommends modifying the program by consolidating resources related to direct services to domestic violence victims in DES and consolidating of some law enforcement/prosecution monies in ACJC. Specific recommended consolidations are discussed throughout the text below.

There are numerous examples of overlap between agencies providing domestic violence services. The Governor's Office, through the ODVP, provided nearly \$1 million in grants for direct services to domestic violence victims and nearly \$400,000 in law enforcement and prosecution grants in FY 1998. The ODVP also spent more than \$1 million of prevention, training, and administration in FY 1998.

These monies include the federal Services, Training, Officers, Prosecution (STOP) grant and General Fund monies passed through DES. The federal government requires 25% of the federal STOP grant to be used for victim services, 50% for law enforcement and prosecution, and 25% at the discretion of the state. DES passes through approximately \$500,000 in General Fund monies to ODVP, which then uses approximately half of the monies to provide direct services to domestic violence victims. Most of the General Fund monies spent on direct services by ODVP are used for supportive services, which DES does not spend much money on. However, these counseling, case management, and legal advocacy services are an integral part of the shelter activities which DES funds. ODVP also uses federal monies for these purposes, although some of these services may be provided in settings other than shelters.

The mission of ACJC is to sustain and enhance the cohesiveness, effectiveness, and coordination of the criminal justice system in Arizona. In FY 1998, however, ACJC did not distribute funds for law enforcement and prosecutorial services solely targeted at domestic violence victims, but did distribute such monies to county attorneys for general crime victims. Further, ACJC spent more than \$150,000 on direct services to domestic violence victims, or 35% of its overall Victim Assistance program. In FY 1998, ODVP spent nearly \$400,000 of federal STOP monies on law enforcement and prosecutorial services. JLBC Staff believes that the distribution of federal STOP monies for law enforcement and prosecutorial services is more appropriately done by ACJC than by the ODVP.

JLBC Staff recommends the ODVP provide services related to policy coordination and not direct services or law enforcement and prosecution services. To do this, JLBC Staff recommends the following modifications:

- ODVP would transfer direct administration of direct service and law enforcement grants to DES and ACJC, respectively. ODVP would remain responsible only for policy coordination, prevention, and training.
- The Legislature should appropriate the portion of the federal domestic violence funding that allows states discretion in allocating these monies to direct services or law enforcement.

A similar overlap occurs between DPS and DES. DPS receives the federal VOCA grant, which is intended to serve all crime victims. DPS spent more than \$1.1 million of federal VOCA grant funds on direct services to domestic violence victims in FY 1998, or 41% of its total VOCA grant.

Approximately 40% of the VOCA grant from FY 1997 to FY 1999 was distributed to agencies providing direct domestic violence services. As with the ODVP, the services provided with the grant monies are provided in the same shelters that DES funds in addition to other settings. JLBC Staff recommends that DPS would transfer the direct services component of the federal VOCA program (approximately 40% of the grant) to DES.

ACJC's Victim Assistance program is similar to the VOCA grant in DPS. Monies are used by public and private non-profit agencies that deliver services to crime victims. ACJC spent more than \$150,000 on direct services to domestic violence victims, or 35% of its overall Victim Assistance program, in FY 1998. Most of these monies were spent on programs specifically targeted at domestic violence victims. JLBC Staff recommends that ACJC would transfer the direct services component of its Victim Assistance appropriation (approximately 35% of the grant) to DES. This recommendation does not address grants made to programs serving all types of crime victims, including domestic violence victims. We also cannot determine how much of this money is being spent on legal advocacy. We believe legal advocacy may be better classified as "law enforcement/prosecution" monies rather than "supportive

services" as they are currently classified. Legal advocacy monies may be better administered by ACJC; without additional information on amounts and sources of revenue, JLBC Staff does not make any recommendation on this issue.

DHS and DES provide similar emergency shelter services to victims. Starting in FY 1998, DHS used its monies from the federal Family Violence Prevention and Services Program primarily to fund emergency shelter-type services. Approximately \$540,000 of the nearly \$1 million spent by DHS from this grant in FFY 1999 was for emergency shelters provided in rural areas of the state; the remaining funds are used for assorted training and shelter development. Since the emergency shelter services provided by this grant are similar to those already provided by DES, JLBC Staff recommends that DHS would transfer the federal Family Violence Prevention and Services Program grant to DES. DES may wish to reserve a portion of the grant for training purposes.

Other programs within the Department of Commerce, ACJC, the Attorney General, and AOC are either properly located, too difficult to move to a different agency, or have little information. For example, the Department of Commerce has in recent years provided capital and some start-up operational funding to a few shelters serving domestic violence victims. JLBC Staff believes that moving these funds to DES could provide greater control over the development of domestic violence shelters, but the relatively small percentage of grants that go to domestic violence shelters would make such a recommendation impractical.

Therefore, JLBC Staff recommends consolidation of resources related to direct services to domestic violence victims in the DES and consolidation of some law enforcement/prosecution monies in ACJC. **OSPB recommends that funding agencies participate in a new collaborative initiative to divide their resources amongst the shelters so that each shelter receives the appropriate level of funding. JLBC Staff believes that coordination of these resources cannot eliminate the inherent inefficiency of six different agencies providing direct services to domestic violence victims.**

Twenty-six providers of domestic violence services receive funding from two or more state agencies. JLBC Staff believes that this results in inefficiency not only on the agency side, but also on the provider side. If shelters have to fill out four RFPs, track four different funding sources, and provide four different agencies with four different reports, that will be more of a burden on shelters than if they only had to prepare information on one grant for one agency. Provider agencies indicated to us that multiple RFPs with multiple reporting requirements are burdensome. The START Task Force did not propose joint application for service provision in its January 1, 1999 report to the Legislature. We understand that there may be some interest now in developing a single application for funding. JLBC Staff believes, however, that simplifying this process for shelters and other providers will not occur without consolidation of resources within DES and ACJC.

JLBC Staff also acknowledges that consolidating every domestic violence dollar is impractical. For example, we would consolidate the direct service funds within DES and the prosecution/enforcement monies in ACJC. In addition, there are services within the Department of Commerce and AOC that are best left in their current department. Nonetheless, consolidation of the majority of the direct services and enforcement/prosecution within just two agencies would significantly streamline the current fragmented delivery system. For example, JLBC Staff believes that the fact that DPS is now funding a position in ODVP to better coordinate policy with victims' services demonstrates the current

inefficiency of the delivery system. More dollars could be devoted to direct services and less to administrative coordinators if programs were consolidated in one agency.

JLBC Staff emphasizes that its recommendations are not intended to redirect monies for direct victim services into shelters and away from non-shelter-based providers. Shelters are an important part of the continuum of services provided to domestic violence victims, but should not be the only part. JLBC Staff does not believe that consolidating these monies should eliminate other non-shelter options for delivering services to victims.

JLBC Staff would also note that there has been little statewide policy determination regarding domestic violence services. A total of 25% of the federal STOP grant can be spent at the state's discretion. Because the Legislature is being asked to fund a broad range of domestic violence services, this portion of the STOP grant could be used to help address the issues the Legislature feels are most important to the state. At this time there is no such input sought by the ODVP.

### OSPB Perspective

**Since the original PAR in 1998, progress has been made; however, enhanced collaboration between agencies providing domestic violence services would increase efficiency.** All agencies involved are committed to continuing these efforts. Clearly, better and more complete coordination among the state and local entities involved with domestic violence is needed.

OSPB recommends that funding agencies participate in a new collaborative initiative to divide the resources that are available to them amongst shelters so that each shelter receives the appropriate amount of funding. The eight agencies and organizations that distribute these funds should collaborate to ensure that the total amount of funding that each shelter receives is appropriate. DPS indicated that they are entering into an Intergovernmental Agreement (IGA) with the Governor's Community Policy Office to participate in a new collaborative initiative that will result in more streamlined and comprehensive services. All of the relevant agencies and organizations should participate, and they should divide the resources that are available to them amongst the shelters so that each shelter receives the appropriate amount of funding. As this collaborative effort continues in future years, shelters will not have to use increases in state funds to offset decreases in their other funding sources. These agencies may also be able to consolidate their procurement efforts with just one RFP. Shelters would only have to submit one application for funding, and this would also reduce the administrative burden that multiple reporting requirements create for the providers.

### Effectiveness

Although JLBC Staff and OSPB have individually focused on issues of efficiency in the domestic violence system, it is also important to look at issues of effectiveness, which may be affected by efficiency. In the 1998 PAR, OSPB and JLBC Staff found that clients were satisfied with the services provided in domestic violence shelters. There were 143 respondents in the 23 shelters that administered the survey, and a score of three or higher indicated some satisfaction with the service. On average, 96% of the clients were satisfied with the services provided. We recognize that client satisfaction in shelters has been high. That statistic, however, deals with individuals' experiences within shelters and does not address the overall systemic effectiveness of the DES program.

To evaluate DES's domestic violence subprogram, OSPB and JLBC Staff collected data from all of the shelters that received DES funding between FY 1993 and FY 1999. Most of the data were taken from the Uniform Family Violence Program Report, a quarterly report that the shelters complete for DES. The services identified were provided with all of the shelters' funds, including DES funds, monies from other state agencies, and private sources of funding. With this information, OSPB and JLBC Staff observed the following trends:

- The number of shelter beds funded by DES increased from 336 in FY 1993 to 434 in FY 1999.
- The shelters are able to provide beds to only a small portion of victims who request shelter services.
- The amount of counseling provided to victims has remained fairly constant since FY 1993, though with significant variability from one quarter to the next.
- There was a significant increase in staff time spent on education, awareness, and outreach activities from FY 1993 through FY 1996; but there has been a significant decrease since FY 1996.
- The percentage of victims who had contacted the police when they were admitted to the shelters remained relatively constant at nearly 40% since FY 1993.
- There has been no increase since FY 1993 in the percentage of victims who moved away from the abusive situation when they left the shelters.

The above data can only provide a snapshot of services provided within shelters. Other data concerning different populations may reflect different trends that do not match those reported over the past several years by shelters. The data does indicate, however, that even though the total amount of funding in the domestic violence system has increased, the amount of services provided through shelters has not significantly increased. The above data also highlight the difficulty in selecting proper outcome measures. For example, if the percentage of victims moving away from the abusive situation decreases, it may not mean that the domestic violence provider is not doing a good job; the measure cannot take into account changes in the abusive situation. This second issue is addressed in the "Joint Perspective" discussion later in this section.

### **OSPB Perspective**

Additionally, OSPB believes there are other notable accomplishments since the 1998 PAR.

- Many of the additional beds were added to shelters as a result of the One Bed, One Life campaign, a public/private partnership in which all the state agencies participated. This innovative effort produced outstanding results that did not rely on public funds. The net result was that \$2 million was raised, with every dollar being matched by a private partner.
- As a result of coordination in rural areas, each county now has an active Community Coordinated Response Team made up of providers, police, and court officials to enhance collaboration and develop a coordinated response to domestic violence. Each team has developed a strategic plan with action plans and measurable outcomes.
- With their VOCA grant, DPS is now funding a position in the Governor's Office of Domestic Violence Prevention to better coordinate policy with victims' services.
- The ODVP, the Mesa Police Department, and the Arizona Police Office Standards and Training office presented a three-day conference showcasing best practices in domestic violence for providers, court officials, and police officers throughout Arizona.
- The latest RFP issued for innovative responses to domestic violence included an additional \$50,000 from the Governor's Division for Children to address the needs of children who witness domestic



violence and \$150,000 from the Governor's Division of Drug Policy to address the substance abuse issues that are usually present with domestic violence.

- The ODVP applied for and received funds from the federal government to allow a victim advocate for each county. This individual is working with the various units of local government and the providers to ensure the coordinated response to domestic violence, and provide advocacy for victims before they need shelter care
- The Full Faith and Credit Team is made up of court, police, and Governor's Office officials to make sure orders of protection are honored across political boundaries.

### **JLBC Staff Perspective**

**Although the total amount of funding for domestic violence has increased since the 1998 PAR, there have been few, if any, increases in shelters for categories such as beds available, counseling, and education and outreach.** While the activities discussed by OSPB in the above section may help address the problem of domestic violence, they have not had any impact on these performance measures. We believe that more progress on these measures can be made through the consolidation of resources previously discussed. In addition, JLBC Staff recommends that any administrative savings generated from consolidating resources to domestic violence victims be redirected at increasing those services.

### **Joint Perspective**

**The lack of outcome measures makes it difficult to evaluate overall effectiveness of the system.** DES is, however, collecting cost-effectiveness data. DES's performance measures include the appropriate output statistics. In the 1998 PAR, we reported that DES was gathering the data they needed to provide meaningful outcome measures. It does not appear that those measures have yet been developed. The domestic violence coordinator at DES is, however, discussing issues of outcome measures on the national level. Comparisons of output and cost will enable us to track the program's cost-effectiveness over time. DES will establish a baseline of the cost-effectiveness of shelter activities by June 30, 2000, and they plan to maintain that cost-effectiveness data through the end of FY 2002. Although outcome measures, such as the percentage of clients who remain in a non-abusive situation, could be useful to policymakers and stakeholders, they could potentially be very difficult to collect.

OSPB and JLBC Staff recommend that DES report to the Governor and the Legislature by June 30, 2000 on the baseline cost-effectiveness information being collected and on other recommended outcome measures that should be developed in consultation with other state agencies and interested stakeholders.

Compared to the DES Domestic Violence program, the AOC Domestic Violence subprogram is relatively small. The AOC subprogram plays a small but important part in the state's overall domestic violence system. In the 1998 PAR, we found that the AOC Domestic Violence subprogram did not provide domestic violence services duplicated by any other state agency. The subprogram targeted its mission and goals to educating, training, and assisting court personnel in processing domestic violence cases. The subprogram did not provide direct service to victims of domestic violence nor did it provide funding to shelters. We find that this is still the case.

The AOC Domestic Violence subprogram has taken steps to eliminate inconsistent handling of domestic violence cases and educate court personnel on domestic violence issues, while maintaining a high level of customer satisfaction. To assist in producing consistent treatment of domestic violence cases, the

Chief Justice of the Arizona Supreme Court created the Committee on the Impact of Domestic Violence and the Courts. This committee receives administrative and technical support from the Domestic Violence subprogram personnel, is charged with improving the administration of justice in Arizona related to domestic violence, and making recommendations to the courts and the Legislature for system changes to promote victim safety and the safety of providers who interact with domestic violence litigants.

♦ *Are there other cost-effective alternative methods of accomplishing the program's mission?*

The beds in domestic violence shelters are rarely vacant. If a client leaves the shelter, the shelter will usually be able to fill the empty bed by the end of the day. One shelter indicated that on occasion they may reserve a bed for a victim who does not arrive at the shelter. Another shelter said that once in a while there may be some empty beds due to an illness. If the shelters are at capacity, it is difficult for DES to increase the program's cost-effectiveness without reducing reimbursement rates to shelters.

**JLBC Staff Perspective**

One possible way of increasing cost-effectiveness for the system as a whole, however, is to consolidate the function of contracting with shelters within one agency. As noted above, JLBC Staff recommends that any administrative savings generated from consolidating resources to domestic violence victims be redirected at increasing those services.

♦ *Should the program area be consolidated into one budget unit if the area is administered by more than one budget unit?*

Eight state agencies and organizations administered almost \$10 million of domestic violence funding in FY 1998.

**OSPB Perspective**

OSPB believes that while there appears to be little coordination between these agencies, it would not be practical to consolidate all of the state's resources for domestic violence into one agency. By increasing coordination between agencies, the state could distribute these resources more efficiently without incurring the additional costs involved in reallocating domestic violence funds to one of the eight agencies. Please see the above discussion for further details.

**JLBC Staff Perspective**

JLBC Staff believes that the coordination of these resources cannot eliminate the inherent inefficiency of six different agencies providing direct services to domestic violence victims. As a result, JLBC Staff recommends the consolidation of resources related to direct services to domestic violence victims in DES. To eliminate inefficiencies in contracting for domestic violence-related law enforcement and prosecution monies, JLBC Staff recommends the consolidation of some of those monies in the ACJC. Please see the above discussion for further details.



ARIZONA DEPARTMENT OF ECONOMIC SECURITY  
1717 West Jefferson • P.O. Box 6123 • Phoenix, Arizona 85005

Jane Dee Hull  
Governor

John L. Clayton  
Director

DEC 13 1999

DEC 14 1999  
JOINT BUDGET  
COMMITTEE

Richard Stavneak, Director  
Joint Legislative Budget Committee  
1716 West Adams  
Phoenix, AZ 85007

**RE: Strategic Program Area Review (SPAR) Response**

Dear Mr. Stavneak:

The Department of Economic Security (DES) has reviewed the Strategic Program Area Review (SPAR) report for Domestic Violence and is providing comments per your request. Although the SPAR report addressed both the DES and the Administrative Office of the Court, the comments provided will only reference the DES Domestic Violence program.

All of the following comments are of a substantive nature; the technical comments will be presented in an attachment.

JLBC Staff Findings and Recommendations

**RECOMMENDATION:** JLBC Staff recommends "modifying the program by consolidating resources related to direct services to domestic violence victims in DES...."

**RESPONSE:** The Department acknowledges and is in full agreement with improving the system in order to enhance and expand services to domestic violence victims.

Related to the consolidation of resources, we would like to put forth the following issues for consideration:

- Consolidation may conflict with established program missions and funding requirements among the affected state agencies.
- Consolidation of resources may streamline some facets of the Domestic Violence program, but may also create duplication when two state agencies administer portions of the same fund source.
- DES would have to build relationships and expertise in areas outside its existing domestic violence program i.e. law enforcement, prosecutors, and capital improvement requirements.
- DES administrative costs would increase at a time when the primary source of funding for DES's domestic violence program administrative cost, SSBG, is being reduced.

**RECOMMENDATION:** JLBC Staff recommends that any administrative savings generated from consolidating resources to domestic violence victims be redirected at increasing those services.

**RESPONSE:** We agree with this recommendation and wholeheartedly concur that any savings should be directed to expansion of services for domestic violence victims.

OSPB Findings and Recommendations

**RECOMMENDATION:** OSPB recommends that funding agencies participate in a new collaborative initiative to divide the resources that are available to them among the shelters so that each shelter receives the appropriate amount of funding.

**RESPONSE:** We concur with the OSPB perspective that increased coordination between agencies could result in more efficiently distributing resources and support any improvement in the system serving domestic violence victims.

Joint Findings and Recommendations

**RECOMMENDATION:** OSPB and JLBC Staff recommend that DES report to the Governor and the Legislature by June 30, 2000 on the baseline cost-effectiveness information being collected and with other recommended outcome measures that should be developed in consultation with other state agencies and interested stakeholders.

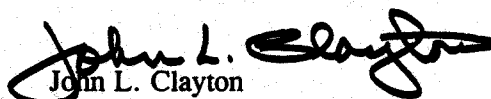
**RESPONSE:** We agree with the recommendation and will continue our work with the baseline cost effectiveness information. This has been a good collaborative effort working with the shelter providers. They have all expressed an interest in having a model to more accurately define their shelter activity costs and outcomes.

Additional Consideration

In the report, the paragraph prefacing the recommendation concerning administrative costs indicates that there has been no increase in the percentage of victims who moved away from the abusive situation when they left shelters (during a period when total funding has increased). We are compelled to point out that in our judgment it is very important that we do not use the percent of victims who moved away from abusive situation as an *outcome* measure for domestic violence shelter services. The purpose of the shelter program is to provide safe shelter and information to help victims make the best choices to deal with their victimization.

In closing, we would like to thank JLBC and OSPB staff for the time and attention they gave this report. Provision of domestic violence services is of key interest to the Department of Economic Security, therefore, we appreciate the substantive recommendations and information included in the report. We share a desire for an improved system of allocating domestic violence resources in a more coordinated manner with the ultimate goal of protecting and improving the lives of domestic violence victims.

Sincerely,

  
John L. Clayton

Attachment

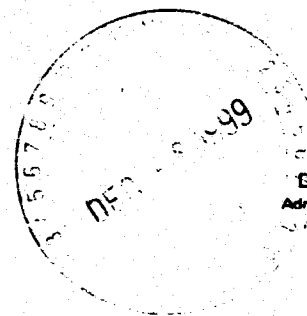


# Supreme Court

STATE OF ARIZONA  
ADMINISTRATIVE OFFICE OF THE COURTS

Thomas A. Zialet  
Chief Justice

David K. Byers  
Administrative Director  
of the Courts



December 07, 1999

Mr. Thomas J. Betlach, Director  
Office of Strategic Planning and Budget  
1700 W. Washington, Suite 500  
Phoenix, AZ 85007

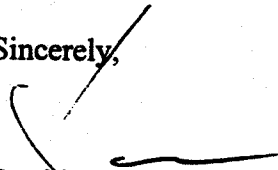
Richard Stavneak, Director  
Joint Legislative Budget Committee Staff  
1716 W. Adams  
Phoenix, AZ 85007

Dear Mr. Betlach and Mr. Stavneak,

Thank you for the opportunity to review the Domestic Violence SPAR report, specifically those sections dealing with the Judicial Department's Domestic Violence Program. Domestic violence is a growing area of concern for the courts. More than ever, resources and programs are needed to address this problem and the number of cases going through the judicial system.

We appreciate the recognition that our program is unique, is not duplicative of other state domestic violence services programs and fits within the Judicial System's overall mission. Through this program, AOC will continue its efforts to improve the administration of justice related to domestic violence issues in Arizona communities.

Sincerely,

  
David K. Byers, Director  
Arizona Supreme Court  
Administrative Office of the Courts

cc: Brad Regens, JLBC Senior Fiscal Analyst  
Lynn Smith, JLBC Senior Fiscal Analyst  
Matt Gottheiner, OSPB Budget Analyst  
Stefan Shepherd, JLBC Senior Fiscal Analyst  
Monica Klaschka, OSPB Strategic Management Analyst  
Marge Cawley, Administrative Office of the Courts  
Agnes Felton, Administrative Office of the Courts

B-15



**JANE DEE HULL**  
GOVERNOR  
STATE OF ARIZONA

December 9, 1999

Mr. Thomas J. Betlach, Director  
Office of Strategic Planning and Budgeting  
1700 West Washington, Suite 500  
Phoenix, AZ 85007

DEC 20 1999

Dear Tom:

Attached please find my response to your letter of November 23, to my office for Domestic Violence Prevention. I am very proud of the progress and collaborations my state agencies have made during the past year in addressing the serious issue of domestic violence.

Achieving the START Team's common goal to provide the most efficient service to domestic violence victims has been assured by the respect, dedication and teamwork that each member has exhibited. I would like to focus on some critical points in the attached report:

- Only one-third of domestic violence victims ever access shelter services and we must assure services are available to all.
- It is imperative that we approach this issue by coordinating all systems within communities leveraging criminal justice and victim services with resources available in the private sector.
- Currently, substantial differences exist in each of the funding streams.

I appreciate the efforts of both OSBP and JLBC and thank them for addressing this most critical issue.

Sincerely,

A handwritten signature in cursive script that reads "Jane Dee Hull".

JANE DEE HULL  
Governor

JDH:di

GOVERNOR'S OFFICE FOR DOMESTIC VIOLENCE PREVENTION  
RESPONSE TO JOINT SPAR REPORT  
December 9, 1999

**OVERVIEW:**

Violence against women is a national epidemic affecting all levels of society. This complex multidimensional issue demands a societal commitment to finding a holistic solution. As with any complex situation, simple answers do not exist. Complicated conditions require focused and specialized responses best addressed by professionals in each field of expertise. National domestic violence experts have learned the most effective interventions to this crisis must come through a coordinated community response. Solutions have been proven most effective when they involve law enforcement, prosecution, courts, and victim services in their design and implementation.

Based on nationally reported incidents of domestic violence, 3.6% of the population (approximately 4 million<sup>1</sup>) are adult female victims of domestic violence. Utilizing this factor for Arizona's population we estimate there may be approximately 67,400 adult female victims of domestic violence. The Department of Economic Security reports that approximately 14,350 adult female victims requested shelter services in SFY 1998. While beds were available for 29% of those requesting them, only 6% of the estimated number of victims were cared for in shelters. **Two-thirds of victims never access shelter services but choose to disclose to a friend, relative or a professional in the medical or religious fields.** One fact is certain -- services are required in multiple dimensions, systems and locations.

Shelter care is an important aspect of the domestic violence solution, but it is only one of the many essential tools available, and it impacts a very small percentage of those affected by violence in their homes. Directing all STOP (Services, Training, Officers and Prosecutors) funds to ACJC or DES for shelter services would result in Arizona providing services and treatment to a very small percentage of the victims of domestic violence. We would also be ignoring the effective and nationally accepted strategy of a coordinated community response involving multiple solutions and a multi-disciplinary team of professionals. ODVP is unique in its ability to leverage collaborations of systems and effectively influence professionals in a variety of fields.

What may appear to simplify and streamline the current structure to disseminate funds in domestic violence fails to take into consideration the purpose stated by the U.S. Congress and the Department of Justice or the objectives outlined by Arizona's STOP Team. A more thorough investigation and time for planning in this complex issue is required prior to initiating change that critically impacts the lives of Arizona's families.

---

<sup>1</sup> *Violence by Intimates: Analysts of Data on Crimes by Current or Former Spouses, Boyfriends, and Girlfriends*, U.S. Department of Justice, March, 1998

## **RESPONSE to FINDINGS**

### **JLBC Staff Findings and Recommendations:**

**Despite some instances of increased collaboration, lack of coordination between state agencies still inhibits the efficient allocation of resources among domestic violence shelters.**

#### **OSPB Recommendation:**

**Funding agencies participate in a new collaborative initiative to divide their resources amongst the shelters so that each shelter receives the appropriate level of funding.**

We agree with this finding. More time to collaborate will enable START to be more responsive and streamline services to communities. The START strategic plan under development this year will provide the framework for a coordinated response.

#### **JLBC Recommendations:**

**Consolidating resources related to direct services to domestic violence victims in DES and consolidating of some law enforcement/prosecution monies in ACJC. JLBC Staff believes that coordination of these resources cannot eliminate the inherent inefficiency of six different agencies providing direct services to domestic violence victims.**

- 1. ODVP would transfer direct administration of direct services and law enforcement grants to DES and ACJC respectively. ODVP would remain responsible only for policy coordination, prevention and training.**

We strongly disagree with this finding. By accepting the STOP Formula Grant Arizona agreed to disburse those funds in a very specific manner.

- 1. The Department of Justice required a multi-disciplinary team to develop a comprehensive state plan for use of these funds. Approval of that plan enabled Arizona to receive that grant. The recommended JLBC recommendation does not comply with that plan**
- 2. The funds must address seven broad purposes in criminal justice for victims of domestic violence and sexual assault. Funds are allocated equally (25%/category) to Law Enforcement, Prosecution and Courts, and Victim Services. The balance of these funds (25%) is discretionary and is to be allocated among the three categories.**
- 3. All programs funded with these dollars are required to:**
  - Promote collaboration within the criminal justice and victim service systems of their communities**
  - Develop an evaluation plan to establish accountability**

Directing these funds to shelter services would ignore two-thirds of the victims in Arizona. Neither would it fulfill the requirement that the funds also address the needs of victims of sexual assault.



Due to the volume and scope of the STOP grant program, DES and ACJC would be challenged to absorb this program without additional staff. The STOP grant restricts administrative costs to 5%. There would be no net savings in administrative costs moving STOP dollars. In fact, the costs would have to increase. ODVP distributes these dollars with a single RFP, moving them would require three separate RFPs from three separate agencies. Fiduciary responsibility, and the costs associated with it, would remain with ODVP.

The Governor applied for these funds and directs their distribution. Any change would require Department of Justice approval and modification to Arizona's STOP Plan which was created through public forums.

**JLBC Recommendations: Modifying the program by consolidating resources related to direct services to domestic violence victims in DES and consolidating of some law enforcement/prosecution monies in ACJC.**

**A. Transferring Direct Service Funds to DES** – DES programs differ substantially from those funded by ODVP. DES funds general program services such as domestic violence shelter operational costs while ODVP funds specific activities such as sending victim advocates to unserved rural communities. The funding provided to shelters by ODVP enhances DES domestic violence funds. The ODVP grants allow the shelters to offer services not covered by DES. Competition for grant funding under both DES and ODVP in the area of victim services is very intense. Forcing small, emerging programs to compete against larger shelters would place them at a disadvantage. The negative impact would be most acute in underserved rural communities.

DES does not fund sexual assault service providers.

DES and ODVP do not award overlapping funds. In addition, ODVP shares all fund information with members of START, including DES. STOP funds used to support domestic violence shelter services have been awarded only to programs in rural communities not currently supported by DES. These dollars have been utilized to develop domestic violence shelter services in unserved areas of our state or to provide advocacy or outreach to underserved victims. ODVP has two focuses in its funding strategy; first to provide critically needed services to rural citizens, and second to support their efforts to develop programs that will fit the criteria for eligibility of DES funding.

**B. Transferring Law Enforcement Funds to ACJC** - We disagree with this finding. ACJC's domestic violence dollars program is focused on victim assistance in the areas of information on the criminal justice system and victim compensation. Those programs do not support the requirements of the law enforcement category for STOP. Those dollars are utilized to provide:

- Specialized training in collection of evidence; study of the dynamics of domestic violence and sexual assault victims and batterers, etc.
- Development and implementation of specialized domestic violence and sexual assault policies and protocols
- Specially trained officers, prosecutors and staff working to eliminate the re-victimization of citizens by the justice system while holding

batterers accountable. National model family violence centers assure a coordinated response to domestic violence and sexual assault victims. Locating these specialized officers and prosecutor at these facilities contributes to this collaboration.

Collaboration between the criminal justice and victim service systems is a requirement of the Department of Justice. STOP Grantees must demonstrate collaboration to qualify for these program dollars, and they have done so. The JLBC recommendation would not result in increased efficiency, nor would it improve services to victims.

**2. The Legislature should appropriate the portion of the federal domestic violence funding that allows states discretion in allocating these monies to direct services or law enforcement.**

We disagree with this finding. As it was stated earlier, the Department of Justice requires that the discretionary funds of the STOP grant support three designated categories:

- Law Enforcement
- Prosecution and Courts
- Victim Services

Each of those categories is to receive 25% of the funds. The remaining 25% can be applied to any of the three categories.

ODVP issues a single RFP to disburse all STOP dollars. A multidisciplinary team of professionals selected by the State Procurement Office evaluates the proposals and, guided by the STOP plan, determines the programs to be funded in each category. The discretionary dollars are available to the team to enable them to fund worthy programs whose budget takes them beyond the 25% allocation.

Diverting those discretionary dollars to the Legislature would weaken the procurement process and result in a needless additional funding cycle requiring grantees to apply twice for the same money. It would result in fragmented, not streamlined services.

**3. Although the total amount of funding for domestic violence has increased since the 1998 PAR, there have been few, if any increases in categories such as shelter beds available, counseling and education and outreach. There has also been no increase in the percentage of victims who moved away from the abusive situation when they left the shelter.**

While we agree with the fact presented, that there is no increase in the percentage of victims who have left their abusive situation after receiving shelter care, we disagree with the conclusion drawn. We believe this fact supports our position that shelter care alone is not the solution to Arizona's domestic violence problem. A continuum of comprehensive and multi-dimensional services is required. An effective solution will include prevention, education, support, and victim advocacy services. It will also have outreach that extends far beyond a shelter's doors. A victim must have adequate housing and employment to have an alternative other than returning to her abuser.

The situation in Arizona has improved significantly in the last two years. Programs exist in areas previously void of any service. This is due in large part to the dedication and efforts of the START team members. They are determined to minimize federal and state bureaucracy, while focusing on the needs of the community.

ODVP efforts have assured advocacy to smaller communities through the Coordinated Community Response Teams. For the first time all Arizona counties have access to service. ODVP has been successful in moving communities to develop and replicate national model victim centers centralizing domestic violence and sexual assault services. Five centers are open or in the process of opening.

### **OSPB Staff Findings and Recommendations:**

Since the original PAR in 1998, progress has been made; however, enhanced collaboration between agencies providing domestic violence services would increase efficiency.

**OSPB Recommendations:** Funded agencies participate in a new collaborative initiative to divide the resources that are available to them amongst shelters so that each shelter receives the appropriate amount of funding.

We agree with this finding. Effective collaborations addressing much needed funding of shelter services would benefit Arizona's residents. The recommendation to divide available resources among shelters would require additional investigation between START and the staff of the State Procurement Office, as this is a deviation from the mandated process.

### **JOINT FINDINGS AND RECOMMENDATIONS:**

- 1. The lack of outcome measures makes it difficult to evaluate overall effectiveness of the system.**

We agree with this finding. Developing outcome measures is a top priority for START. ODVP has provided support to the STOP Grantees to enable them to develop and gather important data. Significant progress has been made but establishing standardized measures in all disciplines is critically important to the success of all domestic violence programs.

- 2. TABLE 3 (page A-5)**

We agree with this finding. STOP dollars reflected in this table were utilized for domestic violence services.

**NOTE:** Department of Justice requires allocation of funds to sexual assault services. Arizona only recently made progress in developing a Sexual Assault Coalition (AzSAN). Momentum in this area is building and as sexual assault programs increase, a stronger demand for dollars from the STOP Grant will be required.

**3. Efficiency:** Four agencies that provide funding directly to domestic violence shelters for ongoing shelter costs (DES, DPS, ODVP, ACJC) process their own applications for funding without consulting with the other state agencies that provide these funds. The grants made by the 4 agencies listed above are also not coordinated with the mostly capital grants for shelters made by the Department of Commerce or with the supportive service grants made by DHS.

ODVP disagrees with the finding that the four agencies do not collaborate. Improving efficiency and streamlining of processes is critically important to each member of START. We agree that more emphasis in this area is needed and ODVP supports that portion of this recommendation. We would like to correct the stated inaccuracies in this section.

- A. START members serve on every STOP grant evaluation committee. All funding decisions are shared openly and discussed at START meetings.
- B. Without the collaboration and assistance from the Department of Commerce, ODVP would not have been able to develop three new shelter facilities, resulting in additional beds.
- C. START conducted a public forum and invited shelter directors from shelters and safe home networks to offer their opinions about a joint RFP from multiple state agencies. The overwhelming response from participants was negative to this concept. It is surprising to learn that JLBC has received a different understanding.

**4. Effectiveness:** The 1998 PAR found that clients were satisfied with the services provided in domestic violence shelters. On average 96% of the clients were satisfied with the services provided. That statistic deals with individuals' experiences within shelters and does not address the overall systemic effectiveness of the DES program.

We agree with this finding. DES is very effective in providing technical assistance and support to shelter programs.

**JLBC Perspective:** Despite some instances of increased collaboration, lack of coordination between state agencies still inhibits the efficient allocation of resources among domestic violence shelters.

**JLBC Recommendations:** There has been little statewide policy determination regarding domestic violence services.

We disagree with this finding. ODVP continues to provide leadership for the Governor to state agencies and communities. Some examples are:

- At the Governor's request, staff of ODVP identified the multiple state agencies funding DV programs. The Governor's leadership pulled these agencies together to collaborate and coordinate services and form START. This collaborative entity has improved the quantity and quality of domestic violence services in communities and collaboration among state agencies.

ODVP provides leadership and direction to state agencies and individual programs.

- ODVP convenes Statewide community forums to identify needs
- ODVP chairs multidisciplinary teams (STOP/Full Faith & Credit/START)
- ODVP administers the Governor's Commission on Violence Against Women
- As a result of the STOP funds Arizona now has
  - model multidisciplinary protocols for counties, model law enforcement domestic violence training curricula
  - Domestic Violence Judicial Benchbook and training materials for court staff
  - The first legal advocacy center utilizing state Universities Colleges of Law, and other materials promoting statewide policies.
  - All materials are shared with START members and communities statewide.

We are proud of the impact the START team has had on the state domestic violence infrastructure in the short period of time since the 1998 PAR. Each member is dedicated to completing the strategic plan, evaluating program effectiveness, and developing measurable outcomes.

**Arizona  
Department of  
Health Services**

***Office of the Director***

1740 W. Adams Street  
Phoenix, Arizona 85007-2670  
(602) 542-1025  
(602) 542-1062 FAX

JANE DEE HULL, GOVERNOR  
JAMES L. SCHAMADAN, M.D., ACTING DIRECTOR

DEC 21 1999

Mr. Thomas J. Betlach  
Director  
Office of Strategic Planning and Budgeting  
Office of the Governor  
1700 West Washington, Suite 500  
Phoenix, Arizona 85007

Mr. Richard Stavneak  
Director  
Joint Legislative Budget Committee Staff  
Joint legislative Budget Committee  
1716 West Adams Street  
Phoenix, Arizona 85007

Dear Messrs. Betlach and Stavneak:

Thank you for the opportunity to review and comment on the Domestic Violence Strategic Program Area Review.

The Arizona Department of Health Services (ADHS) response to the 2000 Strategic Program Area Review on Domestic Violence includes comments on: (1) information related to the ADHS; (2) information related to the START Team and; (3) information that requires further clarification and/or justification before considering the recommendation.

1. **Information related to ADHS**

Page B-2

- "The Department of Health Services (DHS) would transfer the federal Family Violence Prevention Services Program grant to DES."

Comment: Domestic violence is recognized as a major public health issue. As the focus of these funds is on prevention of family and intimate violence, the prevention of future incidents, and ameliorating the effects of domestic violence, it is appropriate for the ADHS to administer these funds. The effects of domestic violence include physical injury, psychological trauma to adults and children, substance abuse, and a host of other health and related mental health consequences. For those community agencies awarded contracts from the Family Violence funds to provide emergency, temporary refuge for victims of domestic violence and related services, the related services include: counseling

for victims, including children; prevention (e.g., preventive health services within the domestic violence program including nutrition, disease prevention, exercise and prevention of substance abuse); domestic violence prevention programs for school age children; family violence public awareness campaigns and violence prevention; and counseling services to abusers. ADHS also has the staff, experience and expertise necessary to assure the proper administration of the funds.

Although these types of services are most appropriately monitored by ADHS and are consistent with its mission, this agency will fully support any decision the Governor would make regarding the designated state agency for the Family Violence Prevention and Services Act grant.

2. **Information related to the START Team**

Page B-6

- “The five agencies that provide funding directly to domestic violence shelters for ongoing shelter costs (DES, DHS, DPS, ODVP, ACJC) process their own applications for funding without formally consulting with the other state agencies that provide these funds.”

Comment: While the process is informal at this time, START does meet regularly to discuss funding issues and share information about funding applications, funding cycles, changes in funding allocations and other funding issues that would impact shelter funds and other domestic violence services. A major agenda item of the November, 1999 meeting of START was the issue of shelter funding, when the Request for Proposals (RFPs) would be released, the focus of the RFPs and amount of funding available. We recognize the importance of collaboration and addressing the issue of multiple funding sources. Several years ago, START members began to invite each other to be on their RFP evaluation review teams. This year, DES and DHS collaborated on an RFP. START members continue to identify ways to formalize the collaboration.

- “...The grants made by the five agencies listed above are not formally coordinated with the mostly capital grants for shelters made by the Department of Commerce.”

Comment: While the process is not formal, the Department of Commerce is an active member of START. The current representative, Paul Harris, provides START members information regarding funds available. In addition, he contacts START members individually when he has a funding request from one of the shelters that we support. START members coordinate requests from shelters seeking capital funds with the Department of Commerce representative.

3. **Information requiring further clarification and/or justification before the recommendations could be considered.**

Page B-9

- “...OSPB recommends that funding agencies participate in a new collaborative initiative to divide the resources that are available to them amongst shelters so that each shelter receives the appropriate amount of funding. The eight agencies and organizations that distribute these funds should collaborate to ensure that the total amount of funding that

each shelter receives is appropriate....All of the relevant agencies and organizations should participate, and they should divide the resources that are available to them amongst the shelters so that each shelter receives the appropriate amount of funding. As this collaborative effort continues in future years, shelters will not have to use increases in state funds to offset decreases in their other funding sources."

Comment: The report does not define "appropriate." It is not clear in the report how "this collaborative effort" would result in the shelters not having to "use increases in state funds to offset decreases in their other funding sources."

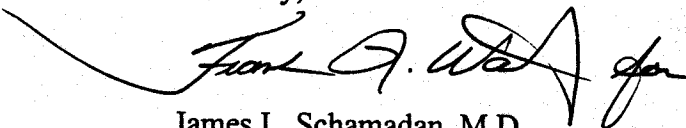
The recommendation would appear to suggest providing "formula" grants, but does not suggest a formula. The recommendation appears to assume that the agencies funding shelter services could "pool" their funds into one source and divide them amongst all shelters. As the report does not provide background information and supporting documentation for the recommendation, it is not evident if certain important factors were considered, such as: some fund sources can be distributed through a grant process, while others require procurement; some fund sources are on a state fiscal year, others on a federal fiscal year; some federal sources are formula and are awarded annually, while others are on a funding cycle (e.g. five years) and require reauthorization and annual appropriation; allocations change from year to year; some formula allocations are for one year, while others are for two; and not all fund sources can be used for the same services.

- "...These agencies may also be able to consolidate their procurement efforts with just one RFP. Shelters would only have to submit one application for funding and this would also reduce the administrative burden that multiple reporting requirements create for the providers."

Comment: Information START received from a focus group of shelter service providers regarding a consolidated RFP indicated that they did not feel consolidation would be beneficial to the shelters. Creating one RFP would be affected by some of the same issues as distributing funds based on a formula (e.g. different funding cycles, different allocations each year). One application would not reduce the administrative burden as each fund source requires its own data for reports and applications. These data need to be provided at different times depending on the federal guidance. The providers would still need to collect and submit the required data for each fund source whether the funding came from one or multiple sources. Consolidation of funds does not eliminate the need to collect and report the required data.

Should you have any questions or need additional information, please contact Ann Tarpy, Section Manager, Injury and Disability Prevention Section, Bureau of Community and Family Health, Division of Public Health Services at (602) 542-7341.

Sincerely,



James L. Schamadan, M.D.  
Acting Director

JLS:AT:at





JANE DEE HULL  
GOVERNOR

# ARIZONA DEPARTMENT OF COMMERCE

OFFICE OF HOUSING AND INFRASTRUCTURE DEVELOPMENT

JACKIE VIEH  
DIRECTOR

STEVE CAPOBRES  
DIRECTOR  
HOUSING & INFRASTRUCTURE  
DEVELOPMENT

December 17, 1999

Mr. Stefan Shepherd, Senior Financial Analyst  
Joint Legislative Budget Committee  
1716 West Adams  
Phoenix, Arizona 95007

DEC 20 1999

Dear Mr. Shepherd:

The Department of Commerce has reviewed the final draft of the Domestic Violence SPAR. We concur with its recommendation that the funds used by our agency to assist agencies serving victims of domestic violence are properly located in the Commerce Department and would be impractical to move to a different agency.

We believe there has been substantial inter-agency collaboration between START members that have resulted in the development of a number of new shelters and transitional housing facilities for domestic violence victims. We do agree that continuing to improve the coordination of planning and funding of new facilities by multiple state agencies is valuable and should be encouraged. Fortunately, due to close coordination with other START agency members, Commerce has been able to fund all viable domestic violence project proposals submitted to us during the past three years. We hope to continue this success in the future.

Thank you for the opportunity to review the draft. If there is any way we can assist in providing additional information for the rest of the SPAR process please don't hesitate to contact me.

Sincerely,

Paul Harris  
Special Needs Housing Manager

B-27



# ARIZONA DEPARTMENT OF PUBLIC SAFETY

2102 WEST ENCANTO BLVD. P. O. BOX 6638 PHOENIX, ARIZONA 85005-6638 (602) 223-2000

JANE DEE HULL  
GOVERNOR

JOE ALBO  
DIRECTOR

December 9, 1999

Richard Stavneak, Director  
Joint Legislative Budget Committee  
1716 W. Adams  
Phoenix, AZ 85007


DEC 9 1999  
JOINT BUDGET  
COMMITTEE

Dear Mr. Stavneak:

Thank you for the opportunity to respond to the initial findings of the Domestic Violence SPAR. The attached Department of Public Safety comments should provide some additional insight.

We appreciate you keeping us informed and allowing us to expound on victim services.

Sincerely,

  
Roger Illingworth, Manager  
Grants Administration

Attachment

## **DPS Response to Domestic Violence SPAR**

**Recommendation:** JLBC Staff recommends modifying the program by consolidating resources related to direct services to domestic violence victims in DES and consolidating of some law enforcement/prosecution monies in ACJC as follows:

The Department of Public Safety (DPS) would transfer the direct services component of the federal Victims of Crime Act program (approximately 40% of the grant) to DES.

### **DPS Response - Disagree**

- The JLBC Staff offers this recommendation to prevent service providers from having to complete multiple RFPs, track multiple budgets, compile multiple performance reports, etc. This would not be the case. Multiple funding sources cannot be combined and tracked as one. Funds must be tracked separately according to federal guidelines.

JLBC Staff is looking at the process down from state agencies, not up from service providers. JLBC Staff presumes combining multiple grants into one RFP at the state level reduces the number of applications shelters have to submit. However, each grant comes with narrowly defined scopes that have to be applied for. Multiple scopes in one RFP still equals multiple applications. The STOP grant is an example of one RFP requiring three applications. Combining public safety, housing, and social service grants into one RFP at DES will still require three separate applications just as it does now. Plus, multiple scopes on one RFP lends to confusion.

Also remember, providers have stated they do not want consolidation. This is their environment. If you consolidate all state pass-throughs into one, they still have many other sources they apply to for funds.

On average, domestic violence providers report receiving funds from two or three state agencies. The JLBC Staff reports the *possibility* of applying to eight agencies. JLBC Staff's recommendation would have no positive impact on service providers, they will still receive funds from three state agencies and many other sources. It does, however, fragment criminal justice, public safety, and housing programs.

The reporting burden will not be reduced. Each program requires specific statistics based on the specific services provided with those dollars. Therefore, separate data would still need to be reported.

- By consolidating funds at DES, the state would add another layer of bureaucracy to the administration of funds in a number of ways.

Currently, providers report the monthly financial activity directly to DPS for payment. The proposed recommendation would add two steps to this process (DES invoices DPS, DPS prepares a transfer to DES), thereby delaying payment to the provider. This delay could present additional financial implications to shelters and other non-profit organizations.

The Office for Victims of Crime (OVC) requires quarterly financial, annual performance, and subgrant award reports from DPS regarding the VOCA monies. This would require DES to gather the information from service providers and consolidate into a report and then submit that to DPS. DPS would, in turn, incorporate it into the larger statewide report and submit it to OVC.

DPS would be responsible for monitoring DES to ensure the federal dollars are expended according to federal guidelines. This would require that DPS perform site inspections on DES to review files and contracts to confirm compliance.

DPS, the VOCA Assistance administrator, is the direct contact for the federal OVC. As a result, DPS would become a messenger between DES and OVC, relaying questions and issues between the two.

- DPS awards VOCA monies to a broad range of programs, including agencies who serve victims of all types. If implemented, the JLBC Staff recommendation would negatively impact overall crime victim services.

Because DPS funds and monitors all types of victim service agencies, we are in a unique position to encourage, influence, and facilitate cooperation and coordination between these agencies. For example, DPS can influence a victim witness program to coordinate their services with the domestic violence shelter in the same region.

In fact, coordination between different disciplines has evolved to the point that the agencies are housed in the same facility. Family advocacy centers are an emerging trend at the national level and are the embodiment of community coordination. They were developed to reduce the fragmentation of services which often created system-induced trauma to people already traumatized by victimization.

The JLBC Staff recommendation is an attempt to improve coordination at the state level at the expense of coordination at the community level, which is closer to where the victims actually are.

Redistributing a portion of the VOCA grant to DES would place DPS in the unenviable position of having to coordinate the coordinators, would add another level of oversight, and would distance the criminal justice perspective from the shelters.

**Recommendation:** JLBC Staff recommends that any administrative savings generated from consolidating resources to domestic violence victims be redirected at increasing those services.

**DPS Response:** Disagree on any significant administrative costs being realized

- DPS questions the assertion of any administrative savings. The JLBC Staff plan would probably be costly and not only to domestic violence programs but to the administration of public safety, criminal justice, housing and health programs having domestic violence support carved from their holistic approaches.

**Recommendation:** OSPB recommends that funding agencies participate in a new collaborative

initiative to divide the resources that are available to them amongst shelters so that each shelter receives the appropriate amount of funding.

**DPS Response: Agree.**

- As a result of the domestic violence PAR conducted in 1998, state agencies through the Staff Technical Assistance Response Team (START) have improved communication, coordination, and collaboration regarding domestic violence funding. DPS, as a START member, is a willing participant in working toward enhanced collaboration among the state agencies. In the past year, significant progress has been made. START members have participated in evaluating RFP's for the other agencies; joint RFP's have been conducted; and, when possible, combined reporting documents have been developed. Analysis has been conducted on the reporting data required for each fund source to determine the viability of developing one reporting document. START concluded the DPS and DES programs were too dissimilar to combine performance reports.

Work continues on streamlining the RFP process by examining the unique requirements of each funding source. In considering consolidation of state resources to develop one RFP for domestic violence services, START members met with shelter directors representing both rural and urban programs. Their response to this recommendation was that this would not be in the best interests of the service providers. START has developed a strategic plan (currently in draft form) to work collaboratively to assess needs, influence policies and practices, and maximize resources to reduce domestic violence and improve access to quality services for domestic violence victims in Arizona. Clearly, adequate time should be given to implement change and evaluate the progress being made.

**Additional comments on the findings of the JLBC Staff as reported in the SPAR:**

The JLBC Staff significantly understates the level of cooperation and coordination of state agencies facilitated by START. Because of their interaction state agencies have been able to streamline the processes of applying for grants, and reporting performance successes. START invited public input while working with DOA streamlining the grant process. This resulted in improved legislation. START even conducted financial analysis of urban shelters to explore expected funding ratios between local, state, federal government and fundraising (including United Way, foundations, thrift shops, and donations). This analysis provided START members with a keen perspective into the operations of shelters.

The JLBC Staff reports a collaborative initiative between DPS and the Governor's Office as an example of lack of coordination. The Department of Public Safety questions this assertion which was not derived from employee or supervisor interviews or review of the interagency agreement. In fact, DPS and the Governor's Office hold themselves accountable to the public by formalizing such an agreement.

The JLBC Staff reports an increase in arrests for domestic violence. DPS questions this statement as statistics indicate a significant decrease in arrests.

The JLBC Staff reports no increase in outreach since the last PAR. DPS also questions this assertion as

evidence strongly indicates otherwise.

The JLBC Staff reports there has been no increase in the percentage of victims who moved away from the abusive situation. Is this a plus? Did more families restabilize? The average battered woman leaves her abuser several times before she leaves him for good. With the increased awareness of domestic violence and associated services, more victims may be seeking help for the first time. Because of the unique dynamics associated with domestic violence, these victims entering the system for the first time may be skewing the outcome measures negatively. The unserved victim population is enormous. As more and more of these previously unserved victims enter the system, it may appear, at a glance, that the problem is getting worse instead of improving.

DPS believes outcome measures of the "overall" domestic violence problem would include the following: Incidence reduction and restabilizing the family. Measuring such outcomes is a struggle going on nationwide and DPS does agree that DES, and the rest of START, need to identify measures.

The JLBC Staff finding oversimplifies the problem:

Only a couple of state agencies are authorized to support construction (DPS is not one). Given the obvious impact of the "One Bed, One Life" program, plus the successful fund raising of some shelters to increase beds, why would a state agency fund an increase in beds before evaluating the sufficiency of this increase? The urgency now is not the accessibility of beds in Maricopa County but the administration of the beds now coming on line.

Additional beds is not the only answer to addressing the domestic violence problem. Not all individuals who experience domestic violence seek the services of a shelter. In fact, the majority of these individuals seek no services at all. By conducting more outreach and public awareness campaigns, more victims will come forward seeking assistance in various forms.

DPS' VOCA funds are not intended to significantly support shelter operations. These funds come attached with public safety and criminal justice requirements to shelters already operating. DPS funds *enhance* services such as outpatient counseling and support groups, domestic violence hotlines, and other community-based advocacy services to keep or attract victims to the criminal justice system where offender accountability is affected. Much of the DPS "domestic violence" funding, even to shelters, is not for shelter operations. DPS has been making advancement in assuring services for sexual assault victims and others. Some of this has been achieved through outreach and collaboration with domestic violence programs. Additionally, shelters are staffing positions at criminal justice agencies, away from the shelter.

Prevention, education, and batterer accountability are issues that must also be addressed to impact the problem of domestic violence. DPS's VOCA funds cannot be utilized for prevention. There is no *substantive* funding in Arizona for preventing domestic violence. The only *symbolic* prevention is made by the efforts of Hank Barnes and Donna Irwin of ODVP to increase awareness of the issue.

The JLBC Staff proposal would undercut ODVP's ability to keep the public current on domestic violence issues. ODVP's tremendous effort is almost totally dependent on the grant administration JLBC Staff proposes to transfer out. This transfer would be very costly and ineffective.



# Arizona Criminal Justice Commission

December 9, 1999

**Chairman**  
**BARBARA LAWALL**  
Pima County Attorney

**Vice Chairman**  
**JAN BREWER**  
Board of Supervisors  
Maricopa County

**JANET NAPOLITANO**  
Attorney General

**JOE ALBO, Director**  
Department of Public Safety

**TERRY L. STEWART, Director**  
Department of Corrections

**DAVID K. BYERS, Director**  
Administrative Office of the Courts

**ED LEYVA, Chairman**  
Board of Executive Clemency

**WILLIAM HOLOHAN**  
Chief Justice Retired

**RICHARD M. ROMLEY**  
Maricopa County Attorney

**CHARLES HASTINGS**  
Yavapai County Attorney

**JOSEPH ARPAIO**  
Maricopa County Sheriff

**CLARENCE DUPNIK**  
Pima County Sheriff

**WILLIAM ROBINSON, Chief**  
Yuma Police Department

**TOM SHEAHAN**  
Mohave County Sheriff

**CHRISTOPHER BAVASI**  
Mayor, City of Flagstaff

**ROBERT G. LAYTON**  
Chief Probation Officer  
Graham County

**Thomas J. Betlach, Director**  
**Office of Strategic Planning and Budgeting**  
**1700 West Washington, Suite 500**  
**Phoenix, Arizona 85007**

Dear Mr. Betlach,

The Arizona Criminal Justice Commission (ACJC) appreciates the opportunity to respond to the SPAR. Due to the short response time, the full Commission has not had an opportunity to formally vote on the recommendations presented in the report. The following additional information is presented to provide clarification of the issues involving domestic violence funding and the criminal justice system.

The Arizona Criminal Justice Commission does not concur with the JLBC finding that lack of coordination still inhibits efficient allocation of resources. Additionally, ACJC does not concur with the JLBC recommendation to modify the program by consolidating resources.

Segmenting domestic violence programs from general victim services inhibits the effectiveness of services available to all crime victims. The Crime Victim Assistance Program provides funding for a variety of victim services programs. Removing a portion of funds for a specific type of crime diminishes the effectiveness of the entire program.

Family Advocacy Centers have been established in many counties demonstrating the cooperative efforts of several agencies coordinating services for one cause, "serving victims of crime". The goal of these centers is "One Stop Shopping". This approach has been successful in helping victims and is the heart of the START Team mission, "To work collaboratively to assess needs and maximize resources in order to reduce domestic violence and improve access to quality services in Arizona". The success of the centers demonstrates the ability of several agencies providing seamless service for one cause.

**Executive Director**  
**MICHAEL D. BRANHAM**

Suite 260  
3737 North 7th Street  
Phoenix, Arizona 85014  
(602) 230-0252 FAX 728-0752  
E-MAIL: acjc@goodnet.com

The mission of the Arizona Criminal Justice Commission is to "sustain and enhance the cohesiveness, effectiveness and coordination of the criminal justice system in Arizona". Victim Services is an integral component of the criminal justice system, ensuring justice to the citizens of Arizona through balancing defendants rights with victims needs.

Participation from victims, domestic violence shelters and other victim service providers is essential to the system. By providing funding opportunities to service providers and direct benefits to crime victims, ACJC can facilitate participation in the criminal justice system and ensure continued cooperation and collaborative efforts of all stakeholders. The DES domestic violence program is focused on the social service aspect of the domestic violence problem and does not promote, necessarily, such participation with criminal justice. The advocate positions funded by the ACJC provide a much needed link between the social service and criminal justice systems. Victims increased participation with the criminal justice system leads to increased prosecution and conviction rates in the State. Additionally, the Crime Victim Assistance Program requires programs to provide victims with assistance in obtaining victim compensation. This program requirement is essential in supporting the State Crime Victim Compensation Program.

Per ARS 41-2407, the Arizona Criminal Justice Commission administers the Crime Victim Compensation Program and the Crime Victim Assistance Program. These programs should be viewed in tandem. The legislative intent is to establish, maintain and support programs that compensate and assist victims of crime. The Crime Victim Assistance Program was established to benefit all victims of crime including victims of domestic violence. The ACJC has taken seriously the desperate need of funding for domestic violence shelters and has responded by increasing the dollars awarded to such programs. However, the program does not allocate funds by type of victim, the funds are distributed based on an annual competitive grant process.

ACJC does concur with the OSPB recommendation that continued collaborative efforts are needed to ensure domestic violence shelters receive the appropriate level of funding and that law enforcement and prosecution funds are distributed appropriately. The START Team has been productive in many ways in improving coordination of domestic violence funding and issues.

The Team is finalizing a Strategic Plan that will steer the group for the next three years. The plan addresses strengthening communication and collaboration among agencies, conducting a needs assessment across agencies to evaluate available resources related to domestic violence services and to identify and recommend policy that positively impacts domestic violence victims.

As a result of START, ACJC and DPS combined statistical reporting requirements for the agency's Victim Assistance Programs and DES and DHS have developed a joint RFP for funding. DPS and ACJC regularly exchange information related to grant recipients. Further coordination is being developed in the area of training among the sub grantees. DPS and ACJC are also planning joint site reviews to monitor and evaluate programs.

START is compiling the annual report due to the legislature on January 1. The report identifies all domestic violence funding from state agencies and the accomplishments of the team. Over the last year, START has increasingly become more visible and involved with policy makers and customers to increase the coordination and collaboration between

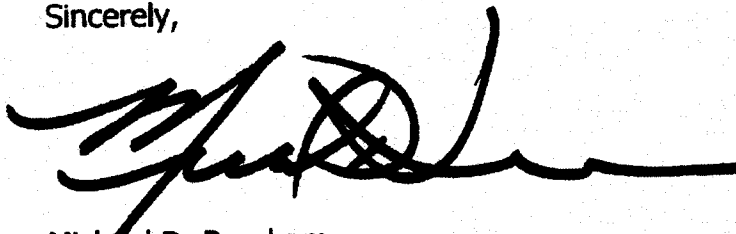


all stakeholders

ACJC does not concur with the JLBC findings that consolidation will result in administrative savings. There are no administrative funds available to administer the Crime Victim Assistance Program. The agency supports the personnel and operating costs from the general budget. Fragmenting funding will result in an additional layer of reporting at the state level therefore increasing administrative costs in managing funds. Each fund source available for domestic violence services has a number of restrictions and reporting requirements. These restrictions and requirements will still need to be met and monitored by the initial agency as well as the recipient agency.

Again, ACJC appreciates the opportunity to share this information with JLBC. If you or your staff would like to discuss these points in further detail, please do not hesitate to call me at 230-0252 ext. 208.

Sincerely,



Michael D. Branham  
Executive Director

**UNIVERSITY EXTENDED EDUCATION**  
**Arizona State University, Northern Arizona University, and University of Arizona**  
**JLBC/OSPB Joint SPAR Report**

**Overview** – The mission of the Arizona State University (ASU) College of Extended Education, Northern Arizona University (NAU) Personal and Professional Development program and Office of Management Development, and the University of Arizona (UA) Extended University is to provide credit and non-credit education to non-traditional students seeking courses at non-traditional times and sites. During the 1998 legislative session, a Performance Authorization Review (PAR) was performed for ASU's College of Extended Education, NAU's Personal and Professional Development program and Office of Management Development, and UA's Extended University. This joint report is an update with some information repeated from the last PAR.

The Extended Education SPAR Self-Assessments for each university complied with general guidelines concerning completeness, clarity, adequacy, and accuracy. Because NAU's Statewide Academic Programs were not included in the original PAR, they were not included in the self-assessment, however, the recommendations included in this report apply to all off-campus credit and non-credit courses offered by each university.

After reviewing the agency Self-Assessments, JLBC Staff and OSPB reached the following findings and recommendations:

- Off-campus courses serve a valuable function in making university education available to students who otherwise might not be able to attend classes. The number of courses offered off-campus has risen significantly in the past several years. The Arizona Board of Regents (ABOR), however, has not provided any general policy guidance on the appropriate level of off-campus courses in the overall mix of educational offerings.
- ✓ **Recommendation:** The JLBC Staff recommends that ABOR report to the Governor and the Legislature by November 1, 2000 on their policy for the use of off-campus course offerings. The policy should include criteria to determine when off-campus courses are most appropriate.
- Coordination among universities with regard to distance learning may be inadequate and may create unnecessary duplication of services.
- ✓ **Recommendation:** The JLBC Staff recommends that ABOR report to the Governor and the Legislature by November 1, 2000 on their policy to coordinate off-campus course offerings to ensure no unnecessary duplication of services. OSPB recommends using the Governor's Higher Education Taskforce for this purpose.
- The ABOR policy that describes which students will be counted for General Fund enrollment formula funding does not address clearly the wide range of extended education course delivery methods that now exist in the state.

- ✓ **Recommendation:** ABOR should create criteria for enrollment formula student counts that provide full state funding only to courses where the quality and cost of delivery are comparable to main campus courses. The policy should be written in a way that can accommodate future changes in educational delivery methods. ABOR should provide their recommendations to the Governor and the Joint Legislative Budget Committee by November 1, 2000. OSPB recommends using the Governor's Higher Education Taskforce for this purpose.

These issues also potentially affect the community college system. Since the community colleges were not a part of the SPAR, however, we are not in a position to provide an in-depth evaluation of the efficiency and effectiveness of their extended education programs. If policy makers desire to have the community college issues addressed as well, they may want to have the universities and community colleges participate in a joint effort to develop a coordinated policy on extended education. While the Governor's Higher Education Taskforce is a possible forum for the discussion of these issues, the JLBC Staff recommends that the Legislature consider whether that body adequately reflects its interests. There is currently no legislative representation on the Taskforce.

**Program Description** – The Extended Education programs of each university focus on services to non-traditional students seeking courses at non-traditional times and sites. Typically, an Extended Education course meets any one of the following conditions: a.) it is a non-credit course; b.) it is offered outside the hours of 8:00 a.m. to 5:00 p.m. on weekdays; c.) it is offered on the weekend; d.) it is offered at a location other than a main or branch campus; or e.) it is offered at a time of year other than the regular fall or spring semester. The organizational structures and functions of each university's Extended Education program are different from campus to campus. As a result, it is difficult to make meaningful comparisons among programs. Table 1 presents a summary of the personnel and facilities used by each program. The reported facility square footage includes space used for program administration and classroom space under the direct supervision of each Extended Education program. The figure does not include classroom space used by the programs, but under the control of another university department or other organization.

**Table 1: FY 1999 Personnel and Facility Utilization**

	ASU	NAU <sup>1/</sup>	UA	Total
FTE Positions	114.9	6.0	49.9	278.1
Facilities	116,737 sq.ft.	2,445 sq.ft.	16,695 sq.ft.	135,877 sq.ft.

<sup>1/</sup> NAU figure does not include 80.2 FTE Positions or square footage that is associated with Statewide Academic Programs.

The ASU College of Extended Education (CEE) assists other ASU - Main and ASU - West colleges and academic units. It serves a variety of functions. At times, the CEE may become aware of student needs that are not being met currently and may ask an ASU college to offer classes in a particular area. At other times, a college, such as the College of Public Programs, may wish to offer classes at an off-campus location and may ask for the CEE's help in finding classroom space, student and faculty parking, and in publicizing the program. Together the CEE and ASU's colleges and departments provide degree programs and credit classes focusing on the non-traditional student, professional and

continuing education, and global and community outreach. The college administers the American English and Culture Program.

The NAU Personal and Professional Development program provides non-credit programs to individuals seeking education in the areas of medicine, social service, or mental health in Northern Arizona and on the Navajo and Hopi Reservations. Their focus is on serving the non-credit educational needs of northern Arizona. The Office of Management Development in the College of Business Administration provides individuals and organizations with the Elderhostel program and seminars and workshops on business-related topics. Their focus is geared more toward meeting the needs of students, businesses, and organizations in the Flagstaff area. Because NAU's Statewide Academic Programs (SAP) were not included in the original PAR, they were not included in the self-assessment. At the time of the original PAR, it was determined that statewide programs were integrated with other Flagstaff campus programs to the extent that separate analysis of SAP was impractical. However, current accounting procedures at NAU allow separate analysis of SAP to be made. For FY 1999, NAU reported that Statewide Academic Programs accounted for 7.6% of its total state operating budget for instruction.

The UA Extended University provides credit courses via non-traditional means, including distance learning, evening and weekend campus, and off-campus course delivery along with non-credit personal and professional development programs. Like the College of Extended Education at ASU, they often act as a go-between helping academic colleges to establish off-campus, evening, and weekend programs. They also offer a wide array of non-credit programs aimed at the needs of individuals and organizations in southern Arizona.

**Program Funding** – The credit-bearing activities of ASU's College of Extended Education, and the UA's Extended University are supported in part from the General Fund, tuition and fees, and through transfers from the main campuses. Indirect support may also come from other campuses, such as the UA's use of NAUNet to teach students in Yuma. Students enrolled in Extended Education credit courses pay the same tuition as for courses offered on the main campus. NAU's Personal and Professional Development program and Office of Management Development and the non-credit activities of ASU and UA are supported primarily through participant fees. In addition, students in Extended Education may pay special fees for space rental and special equipment and materials. ABOR policy specifies that non-credit courses should be self-supporting and should not require the use of any state funds, but it does not specify how individual programs will be funded. Extended Education programs are able to reinvest fund balances in facility development or other needs within the program. Each program has different responsibilities and functions, so it is difficult to draw meaningful comparisons among institutions. Information on program revenues and expenditures is summarized in Table 2.

**Table 2: Program Revenues and Expenditures**

	FY 1998	FY 1999 <sup>1/</sup>	FY 2000
<b>ASU</b>			
Revenues	\$9,042,900	\$10,251,800	\$11,146,100
Expenditures	7,378,600	8,740,100	10,295,100
<b>NAU</b>			
Revenues	2,333,600	1,935,000	2,452,900
Expenditures	1,916,800	1,710,000	2,357,100
<b>UA</b>			
Revenues	5,753,100	5,869,600	6,358,000
Expenditures	<u>5,811,200</u>	<u>5,931,300</u>	<u>6,360,300</u>
<b>Total</b>			
Revenues	17,129,600	18,056,400	19,957,000
Expenditures	15,106,600	15,106,600	19,012,500

<sup>1/</sup> If Statewide Academic Programs were included, FY 1999 NAU revenues and expenditures would be increased by an additional \$5,353,700 in instructional revenues and expenditures.

**Enrollment** – For FY 1999, ASU reported 5,825 non-credit enrollments, NAU's Office of Management Development, and Personal and Professional Development Programs reported 8,656 non-credit enrollments, and UA reported 22,442 non-credit enrollments. For FY 1999, the three universities reported that they had 4,572 Full Time Equivalent (FTE) students in off-campus courses counted for General Fund enrollment formula funding, an increase of 32% over FY 1997. ASU and UA reported offering 578 off-campus credit courses in FY 1999, an increase of 41% over FY 1997. As shown in Table 3, the number of students enrolled in credit-bearing off-campus courses increased by 27% from FY 1997 to FY 1999, while total main campus enrollment increased by 1.6% during this same period.

**Table 3: Fall Semester Enrollment for Off-Campus Credit-Bearing Courses**

	FY 1997	FY 1998	FY 1999
<b>ASU</b>			
Extended Education	3,943	4,537	5,744
Main Campus	42,463	44,255	43,732
<b>NAU</b>			
Extended Education <sup>2/</sup>	4,350	4,698	5,265
Mountain Campus	15,255	14,920	14,675
<b>UA</b>			
Extended Education	2,447	2,501	2,635
Main Campus	<u>33,504</u>	<u>33,737</u>	<u>34,327</u>
<b>Total</b>			
Extended Education	10,740	11,736	13,644
Main Campus	91,222	92,912	92,734

<sup>2/</sup> NAU Extended Education includes NAU-Yuma and other students served through Statewide Academic Programs.

\*\*\*\*\*

- ◆ *How do the program missions fit within the agencies' overall missions and the programs' enabling authority? Are they still necessary?*

The missions of the ASU College of Extended Education, the NAU Personal and Professional Development program and Office of Management Development, and the UA Extended University are consistent with the broad university missions of instruction, research, and public service. The programs continue to be well accepted, but the necessity for the services they provide needs to be examined in light of possible duplication with local community colleges and other state universities that may offer similar courses to students.

- ◆ *Does the program meet its mission and goals efficiently and effectively, including comparisons with other jurisdictions? Do the program's performance measures and performance targets adequately capture these results?*

It is unclear whether the programs meet their missions and goals efficiently and effectively. For non-credit programs, each university's goal is for the program revenues to cover expenses. If a program pays for itself and attracts participants, and the participants are satisfied with the services provided to them, universities generally consider the program to be successful. With the exception of the UA's Extended University, each Extended Education non-credit program operates on a self-supporting basis and it is estimated that the UA program will be self-supporting by FY 2001.

Each of the three universities conducts surveys to assess student satisfaction with coursework and other programs. The survey results indicate a generally high level of participant satisfaction. At the time of the 1998 PAR, information on cost per student for off-campus credit bearing courses was generally not available to university decision makers.

**Off-campus courses serve a valuable function in making university education available to students who otherwise might not be able to attend classes.** The number of courses offered off-campus has risen significantly in the past several years as Table 4 indicates. However, ABOR has not provided any policy guidance for the appropriate level of off-campus education in meeting the current and future needs of students throughout the state. Although Board of Regents Policy 2-205 addresses some aspects of off-campus education, it does not provide specific guidelines for incorporating off-campus education in the overall mix of offerings and does not provide criteria to determine when off-campus courses are most appropriate. The JLBC Staff recommends that ABOR report to the Governor and the Legislature by November 1, 2000 on their policy for the use of off-campus course offerings. The policy should include criteria to determine when off campus courses are most appropriate. To do this, it will be necessary for them to receive detailed off-campus per student cost information from the universities.

**Table 4: Growth In Off-Campus Courses Offered  
(Number Of Off-Campus Credit Courses Offered During Fall Semester)**

	Year-to-Year		Year-to-Year		
	FY 1997	Change	FY 1998	Change	FY 1999
Arizona State University	219	19.2%	261	31.0%	342
University of Arizona	190	11.1%	211	11.8%	236
Total	409	15.4%	472	22.5%	578

**Coordination among universities with regard to distance learning may be inadequate and may create duplication of services.** Technology is making higher education available to an increasingly broad group of students. Consequently, geographic distances no longer create the natural market areas for education that once existed. As Arizona universities develop the ability to offer courses to students beyond their traditional service areas, it will be important for them to coordinate their distance learning activities to insure that there is no unnecessary duplication of courses among the state's universities and community colleges. This may become more of an issue as Internet courses and nationally televised courses, such as NAU's partnership with EchoStar, increase in number. Board of Regents Policy 2-205 sets guidelines for the service areas of each university and discusses the special role of televised courses in meeting student needs. However, this policy does not address duplication issues related to Internet courses or other potential course delivery methods. Board of Regents Policy 2-203 states that before approval is granted for a new degree program which duplicates offerings at another university, the Board of Regents will consider several criteria including the efforts made by universities to collaborate and to "minimize the duplication of programs and courses." However, this policy also states that in order to gain approval, "It is not necessary for a degree program to meet all of the criteria." We recommend that unnecessary duplication be a key criterion which is always included in program approval decisions. The JLBC Staff recommends that the ABOR report to the Governor and the Legislature by November 1, 2000 on their policy to coordinate off-campus course offerings to ensure no costly duplication of services. OSPB recommends using the Governor's Higher Education Taskforce for this purpose.

**The ABOR policy that describes which students will be counted for General Fund enrollment formula funding does not address clearly the wide range of extended education course delivery methods that now exist in the state.** The FTE enrollment policy was originally intended to count students taking classes with similar levels of quality to main campus classes even if those classes were taught in innovative ways, while at the same time excluding students taking classes with considerably lower per student costs than main campus courses. The current policy, therefore, states that students in "educational television and closed-circuit television courses" are eligible for inclusion in formula funding counts, while students in "correspondence courses" are not eligible for inclusion. At the present time, there are a number of courses that would not easily fit into either category. For example, the policy makes it unclear how courses taught over the Internet would be treated. Currently, off-campus students are taught using a variety of different course delivery methods. Board of Regents Policy 2-205 states that, "There must be no distinction in quality between credit courses taught on campus at a university and those taught off-campus." However, the policy includes no criteria for assessing the quality of off-campus courses in order to ensure that their quality is sufficiently similar to courses taught on main campuses. The JLBC Staff recommends that ABOR should create criteria for enrollment

formula student counts that provide full state funding only to courses where the quality and cost of delivery are comparable to main campus courses. The policy should be written in a way that would accommodate future changes in educational delivery methods. ABOR should provide their recommendations to the Governor and the Joint Legislative Budget Committee by November 1, 2000. OSPB recommends using the Governor's Higher Education Taskforce for this purpose.

♦ *Are there other cost-effective alternative methods of accomplishing the program's mission?*

Extended Education course delivery methods can have significantly different costs per student. Some off-campus credit courses are taught at night in leased public school classrooms, using part-time instructors who live in the local communities. For these courses, both fixed and variable costs per student are low. Other off-campus credit courses are taught using interactive television. A professor teaches from a studio classroom on the main campus equipped with television cameras and television monitors. A signal is sent by microwave or satellite to students at a remote classroom equipped with television cameras and television monitors. In this case, the fixed and variable costs per student are considerably higher. Typically, interactive television is used only for locations where it is difficult to obtain qualified faculty on-site to teach the course. Generally, these locations are in the smaller towns of Arizona such as Holbrook, Kingman, and Show Low. Extended Education programs at each university should continuously evaluate their cost of course delivery to ensure that the lowest cost alternative is used in each situation.

♦ *Should the program area be consolidated into one budget unit if the area is administered by more than one budget unit?*

At the current time, the Extended Education programs of ASU, NAU and UA appear to serve different groups of students with different needs. However, the current extent of duplication among programs is not fully known and the advantages of consolidating the three programs into a single program must be evaluated pending further study. Duplication may possibly exist in the Phoenix and Tucson areas where more than one public university in the state teaches courses to the same population of students. There is also potential competition in the non-credit area with local community colleges. In communities where more than one higher education institution offers classes, efforts should be made to coordinate educational activities and to look for opportunities to share facilities and organize course offerings so that students are served in the most effective and efficient way, while also emphasizing the curriculum strengths of each institution.

*Response to the 1998 PAR Committee Recommendations - The universities were responsive to the recommendations adopted by the PAR Committee. OSPB recommended that ABOR revise its policy on geographic service areas to clarify responsibilities for course and program offerings throughout the state. Although this policy has been revised, additional clarification is still needed. The JLBC Staff recommended that ASU and UA adopt seven performance measures to more fully evaluate the progress of extended education in serving the students of the state. These measures were subsequently added to the set of Extended Education performance measures by the ABOR.*



December 9, 1999

Mr. Thomas Betlach  
Director  
Office of Strategic Planning and Budgeting  
1700 West Washington, Suite 500  
Phoenix, Arizona 85007

Mr. Richard Stavneak  
Director  
Joint Legislative Budget Committee  
1716 West Adams  
Phoenix, Arizona 85007

DEC 15 1999  
JOINT BUDGET  
COMMITTEE

Dear Directors:

Thank you for the opportunity to review and respond to the draft OSPB/JLBC Strategic Program Area Review (SPAR) of extended education programs. The considerable effort that went into the preparation of this report is evident, and I am grateful for your diligence. The University of Arizona's Extended University plays an important role in helping the University fulfill its commitment to provide a broad range of educational opportunities to citizens of all ages. Because Extended University provides such a diverse selection of programs, it is not surprising that some confusion is manifested in the report.

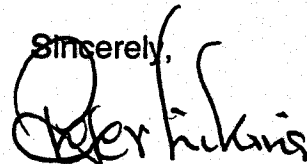
The review implies that credit courses offered off-campus are lower in quality than those offered on-campus. Let me assure you that this is not the case. All credit bearing courses must meet the same standards whether offered on- or off-campus. For each course, content and faculty expectations for student learning are the same. These standards are not only in accordance with University policy but also with ABOR policy (2-205).

Concerns about the duplication of extended education courses with those of the community colleges and of duplication among universities are also indicated in the review. ABOR policy (2-205) already addresses both of these concerns, and we are careful to assure compliance. Only upper-division courses are offered off-campus by the University of Arizona unless a specific lower-division course is not included in Pima Community College's curriculum or the demand for the class exceeds Pima's enrollment capabilities.

The review accurately indicates that Extended University offers both personal and professional non-credit programs as well as university credit bearing courses. However there are some sections of the review that leave the reader unclear as to whether credit or non-credit courses are being referenced.

Specific suggestions for clarifying these issues are included in the attachment to this letter. Thank you again for allowing me the opportunity to respond to this review.

Sincerely,

A handwritten signature in black ink, appearing to read "Peter Likins", written over the word "Sincerely,".

Peter Likins  
President

Attachment

cc: Council of Presidents  
Jeff Young, OSPB Budget Analyst  
Lorenzo Martinez, JLBC Senior Fiscal Analyst  
Monica Klaschka, OSPB Strategic Management Analyst  
Lynne Smith, JLBC Senior Fiscal Analyst

PL/nn

## **ATTACHMENT**

**The University of Arizona Extended University  
Correction/Changes to the 2000 Strategic Program Area Review  
December 1999**

1. The enrollment figures given in Table 3 are the off-campus enrollments reported on the seven measures requested by JLBC/OSPB after the 1998 PAR and that were provided in an attachment to the SPAR. The heading does not reflect that. Change the title on Table 3 to "Fall Semester Enrollment for Off-Campus Credit Bearing Courses." Headcount suggests non-duplicated and there is a slight possibility of some duplication and the number given only represents off-campus enrollments and not those from campus such as the Evening & Weekend Campus.
2. NAU Statewide programs were not included in the 1998 PAR. Therefore, budget figures and enrollments should not appear in the SPAR. The footnotes on Tables 1 and 2 should be deleted and the NAU Statewide enrollments should be deleted from Table 3.
3. In recommendation number three, page A-1, concern is expressed about the 'quality' of credit courses offered off-campus. This is not an issue. By ABOR Policy (2-205), all 'university credit' courses must be of the same quality whether offered off campus or on campus. The course, its content and faculty expectations for student learning are the same.
4. The issue of duplication of extended education courses with those of the community colleges arises several times in the document. This issue of duplication within the same institution or within the community college was addressed in an attachment to the original PAR. There was no concern expressed after that review about similar non-credit courses at the University and the community college. Both entities are responding to market demand and meeting the economic development needs of Pima County and the State. The two institutions bring different approaches and respond to different markets and are not considered duplication. With respect to credit courses, ABOR policy (2-205) addresses the issue of duplication within the university system and between the universities and community colleges. UA has had a long standing agreement with Pima Community College not to offer lower division courses off-campus or in the UA Evening & Weekend Campus unless the course is not available in Pima's curriculum or the demand for the class exceeds Pima's capabilities.
5. We concur with recommendation three that a review of what courses are included in formula funding should be undertaken by the ABOR. However, this review should assume off-campus courses are the same quality as on-campus but consider length of course and course start date issues that currently cause some classes not to be included in the state funding formula because they do not meet the 21 day enrollment date.
6. Important characteristics of extended education programs are flexibility and the ability to respond to market demands. These contributions by extended education programs are critical to the roles universities have in the economic and

workforce development of their community, region and the state. As the state's land-grant institution, the UA extended education unit is central to the University's mission. Therefore, consolidation of programs is not an option.

7. In Table 1, change UA's FTE Positions from 77.0 to 49.9.
8. On page A-1, for clarification, add the word 'credit' to each reference in the three recommendations to off-campus courses.
9. On page A-5, line one, suggested revision to read as follows: All Extended Education non-credit programs are self-supporting and the UA program is expected to operate with a better than break-even budget by FY 2001, not FY 2000.
10. On page A-5, paragraph three, in the heading, add the word 'credit' to read "Off Campus credit courses serve a...
11. The term "lower-division non-credit" courses appears in the paragraph on page A-6 regarding consolidation of programs. There is no such term. Lower division generally applies to credit courses.

**ASU**  
ARIZONA STATE UNIVERSITY

December 10, 1999

Mr. Thomas J. Betlach, Director  
Office of Strategic Planning and Budgeting  
1700 West Washington, Suite 500  
Phoenix, AZ 85007

Mr. Richard Stavneak, Director  
Joint Legislative Budget Committee  
1716 West Adams  
Phoenix, AZ 85007

▲  
**DEC 10 1999**  
JOINT BUDGET  
COMMITTEE

Gentlemen:

I am pleased to present our response to the JLBC/OSPB Joint SPAR Report for the ASU College of Extended Education. I appreciate the opportunity to respond to the findings and recommendations in the report.

Since all three of the recommendations call for the Arizona Board of Regents (ABOR) to report on or develop aspects of Board policy pertaining to off campus courses, I believe it is most appropriate that they be addressed by the ABOR under separate correspondence. As the constitutionally authorized governing body for the state's public universities, the ABOR provides policy direction and oversight for all academic programs and course offerings, including off-campus courses. The Board is well positioned to review the entire range of extant off-campus offerings which was not possible in this report due to organizational differences between the three universities. For example, I call your attention to policy number 2-205 Off-Campus Courses and Programs which clearly delineates institutional responsibilities for the quality of off-campus courses as well as identifying service areas to prevent costly duplication of services. ASU believes that the current policy is appropriate and within that policy framework the three universities are working cooperatively to meet student demand while avoiding costly duplication of course offerings and programs.

My second observation regarding the report is that it concludes by making recommendations to continue studying Extended Education programs in various ways. As I'm sure you are aware, the College of Extended Education went through a Program Authorization Review in 1997-98 and now has undergone a second review in 1999-00. In addition, the College of Extended Education also completed a regularly scheduled academic program review in 1996, a process all academic programs undergo every seven years. While we welcome periodic reviews of programs as an essential part of ensuring program quality and the prudent use of taxpayer dollars, there is a point at which programs are asked to spend more time responding to demands for information than they are able to devote to the business for which they were created. The questions on Extended Education have been asked and answered, and I believe it is time to move forward.

OFFICE OF THE PRESIDENT  
PO BOX 872203, TEMPE, AZ 85287-2203  
(480) 965-5606 FAX: (480) 965-0865

2025 RELEASE UNDER E.O. 14176

December 10, 1999  
Page 2

Finally, I want to close by noting the extraordinary success our Extended Education programs have enjoyed. The College of Extended Education was founded in 1990 to provide a quality educational experience to today's adult learners in non-traditional times and at locations throughout the Phoenix metropolitan area. By 1998-99, twenty-two degree programs, 110 sites, and 20,275 enrollments tell the story of how successful these programs have become. They are an integral part of Arizona State University's service to the metropolitan community and the State of Arizona.

Thank you again for the opportunity to respond to the report. If you have questions regarding these matters, we would be happy to assist you in resolving them.

Sincerely,

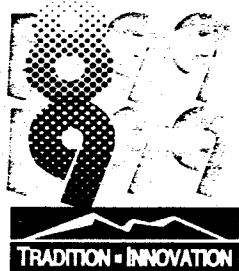


Lattie F. Coor  
President

LFC:lv  
/p

c: Linda Blessing, ABOR  
Milton D. Glick, ASU  
Bette DeGraw, ASU  
Douglas Vinzant, ASU

NORTHERN  
ARIZONA  
UNIVERSITY



OFFICE OF THE  
PRESIDENT

December 9, 1999

Mr. Thomas Betlach  
Director  
Office of Strategic Planning and Budgeting  
1700 West Washington, Suite 500  
Phoenix, AZ 85007

Mr. Richard Stavneak  
Director  
Joint Legislative Budget Committee  
1716 W. Adams  
Phoenix, AZ 85007

Gentlemen:

Thank you for the opportunity to comment on the draft joint OSPB/JLBC Strategic Program Area Review (SPAR) for extended education programs. In general, the report presents a fair update of Northern Arizona University's two programs in extended education: Personal and Professional Development and the Office of Management Development programs. However, I have several concerns about the underlying assumptions about extended education at Northern Arizona University and the policy suggestions you recommend in the draft report.

"Extended education" at NAU is limited to two small programs which offer non-credit instruction and which are fully self-supporting, with no use of General Fund dollars. Since NAU's Statewide Academic Programs (SAP) are not the topic of the SPAR, inclusion of data from SAP in tables 1, 2, and 3 of your report on extended education activity only serves to confuse and limit the comparability of data between the three university programs. Moreover, these distributed learning programs are among the same programs as those offered on NAU's Mountain Campus. It is not realistic to define the space, budgets, or personnel of "Statewide Academic Programs" as representative of our activities in distributed learning. Every academic department, our library, information technology organizations, and general student administrative structures all contribute to the effort to deliver our Mountain Campus programs to other sites and people within the state.

Current policies of the Arizona Board of Regents adequately address most of the issues in your recommendations. I will address the issues in the order you present them in your report.

*Appropriateness of Off-Campus Programs:* Off-campus offerings are covered under ABOR policy 2-205 which deals with program responsibility for credit programs. Under this policy: *Any university may offer a unique program anywhere in the state.* In addition, NAU is specifically authorized to offer some of its graduate programs throughout the state, in keeping with its specific mission for statewide programs. The topic of the SPAR, NAU's extended education programs, are all non-credit and may be offered anywhere in the state.

*Program Approval and Duplication of Services:* ABOR policy 2-203 governs approval of academic (credit-bearing) programs for each university. The stated criteria for program

approval already address the issues you raise in your draft report. Specifically, these criteria include the provision that "efforts have been made to collaborate between the universities to offer this program and to minimize the duplication of programs and courses." Further, we note that in recent years market demand for both credit and non-credit programs has been strong enough to foster the rapid growth of private providers.

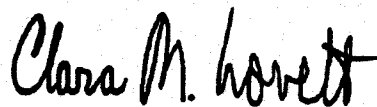
*Program Quality:* ABOR policy 2-208 prescribes that all programs offered by the universities are reviewed for quality, effective use of state resources, and unnecessary duplication. Further, policy 2-205 specifically notes that "there must be no distinction in quality between credit courses taught on campus at a university and those taught off-campus." NAU is fully committed to assuring the quality of all its course and program offerings, whether credit or noncredit. We have extensive internal mechanisms in place to assure quality.

Your recommendation that full state funding should apply only to "courses where the quality and cost of delivery are comparable to main campus courses" is already implicit in the policies outlined above. However, I would also note that NAU strives to offer its courses in very cost-efficient ways. In so doing, we do not equate lower cost with lower quality – on the contrary, we use combinations of technology, direct faculty instruction, and support resources which assure pedagogical effectiveness.

Regarding your recommendation that ABOR study enrollment funding practices, NAU is participating in a tri-university work group examining this topic. Part of the charge of this group is to recommend how to better take non-traditional enrollments into account in policy and funding practices. Further, funding mechanisms will be reviewed by the Governor's Task Force on Higher Education.

Thank you again for the opportunity to respond to your draft review.

Sincerely,



Clara M. Lovett  
President

cc: Council of Presidents  
Jeff Young, OSPB Budget Analyst  
Lorenzo Martinez, JLBC Senior Fiscal Analyst  
Monica Klaschka, OSPB Strategic Management Analyst  
Lynne Smith, JLBC Senior Fiscal Analyst  
Steve Grunig, JLBC Fiscal Analyst